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ABSTRACT

This report describes the activities of the Edna McConnell Clark Foundation for the 1993 fiscal year. Organized in 1950, the foundation's grant activities focus on five areas: children, disadvantaged youth, homeless families, justice, and tropical disease research. The report provides: (1) a brief history of the foundation and its activities; (2) a listing of the board of trustees and foundation staff; (3) the report of the foundation president; (4) a description of program activities in each of the foundation's areas of concentration; (5) a listing of grant recipients in each area; (6) a listing of grant recipients for special projects and education activities; (7) a report by the foundation's auditors; (8) a list of the foundation's publications; and (9) information on how to apply for a grant. (MDM)

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1993 ANNUAL REPORT

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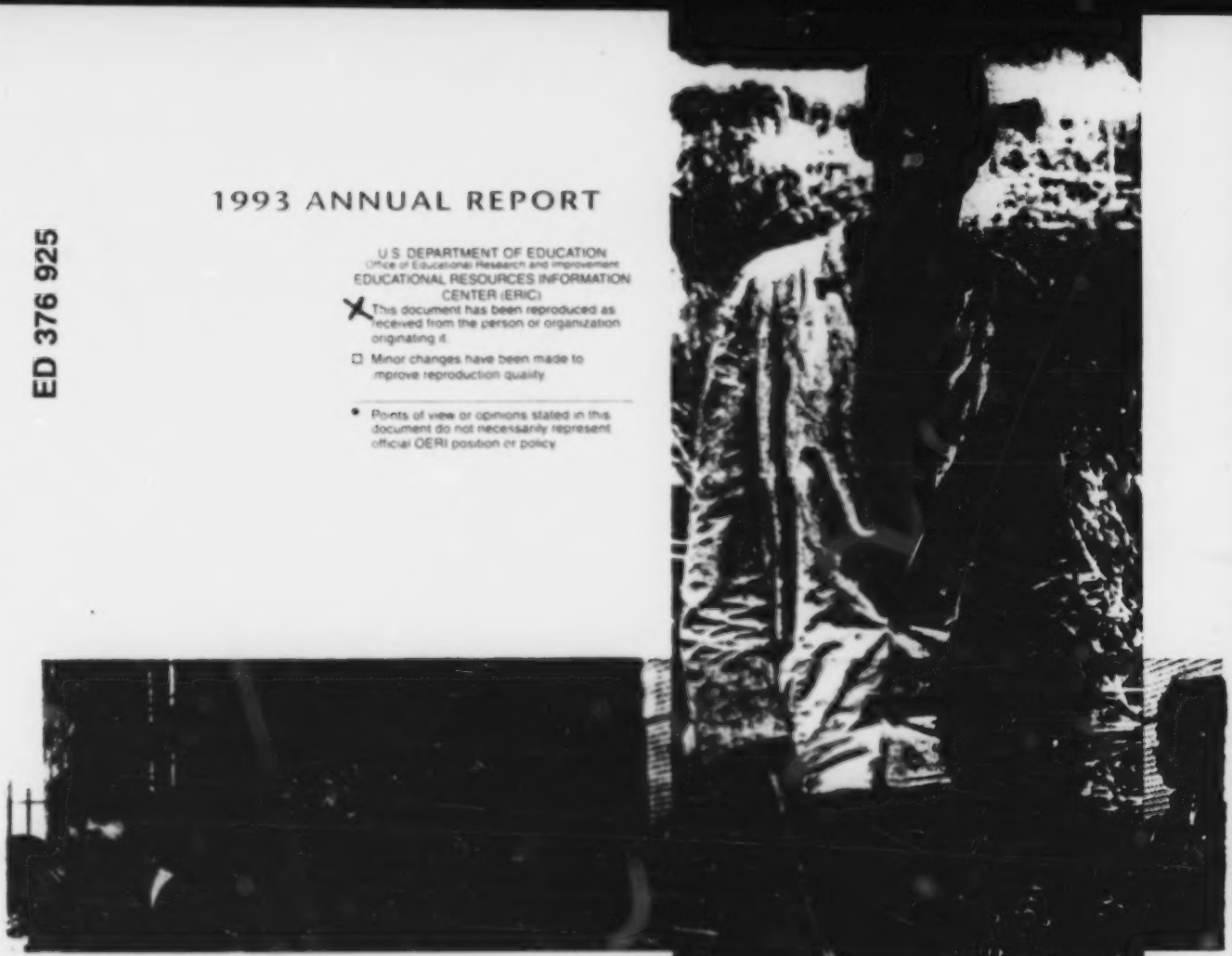

The Edna McConnell Clark Foundation

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1993 ANNUAL REPORT

October 1, 1992 - September 30 , 1993

Founders: Mr. & Mrs. W. Van Alan Clark

The Edna McConnell Clark Foundation

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COVER

Children wait in the schoolyard of P.S. 62 in the South Bronx, where parents are involved in a community-based school improvement effort. Photograph by Hazel Hankin.

In Africa, a child leads a man blinded by the parasitic disease onchocerciasis. Photograph courtesy of the River Blindness Foundation.

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The Story of

The Edna McConnell Clark Foundation

Edna McConnell Clark was a practical woman. And an energetic one. She considered becoming a missionary in China. She worked for a time in settlement houses in New York City and taught adult literacy after World War I. She was interested in the arts and in scientific research. She was an expert and attentive gardener. And throughout her life, she believed in helping the poor "get a break."

The Foundation that carries her name reflects her practical idealism. First incorporated by Edna and her husband, Van Alan Clark, in 1950, the Foundation has grown through several organizational stages—from a small family fund to one of the 50 largest foundations in the country. In the last

24 years, it has made grants of $315 million while striving to maintain the family's down-to-earth approach to philanthropy.

The story begins with David Hall McConnell, Edna's father, a door-to-door book salesman in New York State in the 1880s. As an incentive to buy, he offered a vial of homemade perfume that proved to be more popular than the books. Recognizing good market research when he saw it, he formed the California Perfume Company in 1886 and recruited housewives to sell the perfume as a way to augment their family income. The company added a number of other household products and cosmetics; in 1936, it was renamed Avon. Mr. McConnell died in 1937. Edna's husband, Van Alan Clark, worked with Avon and became chairman of the board in the 1950s.

As Avon prospered, so did the family, and Mr. and Mrs. Clark decided to put resources into a family foundation. The Clarks and their three sons, Hays, Van Alan, Jr., and James, were directly involved in grantmaking activities. Most of their early grants went to such favorite charities as universities and hospitals.

As the 1960s progressed and the value of their Avon holdings continued to grow, Edna and Van Alan Clark became increasingly aware of the need for the Foundation to rethink its responsibilities. In 1969, at the age of 83, Mrs. Clark donated 1,500,000 shares of Avon, more than doubling the size of the Foundation, and charged her sons, who continued as Trustees, with overseeing the staffing and development of the Foundation as an ongoing institution.

She had a strong aversion to self-importance and grandiosity and wanted the Foundation to maintain a no-nonsense, no-frills approach to philanthropy. After carefully considering a wide range of possible grantmaking opportunities, the Trustees decided to concentrate grants on specific goals in four areas: the poor, children, the elderly, and the developing world.

Each of the Foundation's five current programs reflects the spirit of those early decisions. Three programs—Children, Justice, and Tropical Disease Research—can trace their evolution directly to the strategies developed in the early 1970s. In 1988, the Foundation began the Program for Disadvantaged Youth, focusing on urban middle school reform. Also in 1988, in response to increasing homelessness in New York City, the Trustees created the Program for Homeless Families.

Each of the five current programs is assisted by an advisory committee made up of outside experts who help evaluate progress and identify priorities. Although the vast majority of grants are made within the five program areas, the Foundation maintains a small Special Projects fund.

In all, Edna and Van Alan Clark donated some three million shares of Avon stock to the Foundation. During the 1980s, the Foundation diversified its holdings. As of September 30, 1993, the organization's total assets were valued at $520 million.

Van Alan Clark died in 1976; Edna, in 1982. Three members of the family remain on the board—Edna's son Hays and two grandchildren: Lucy Nesbeda and James Clark, Jr.

The family still maintains a low profile, but their concern for people who are "taking a beating," as Edna would put it, is translated into action daily by the Foundation's grantees.

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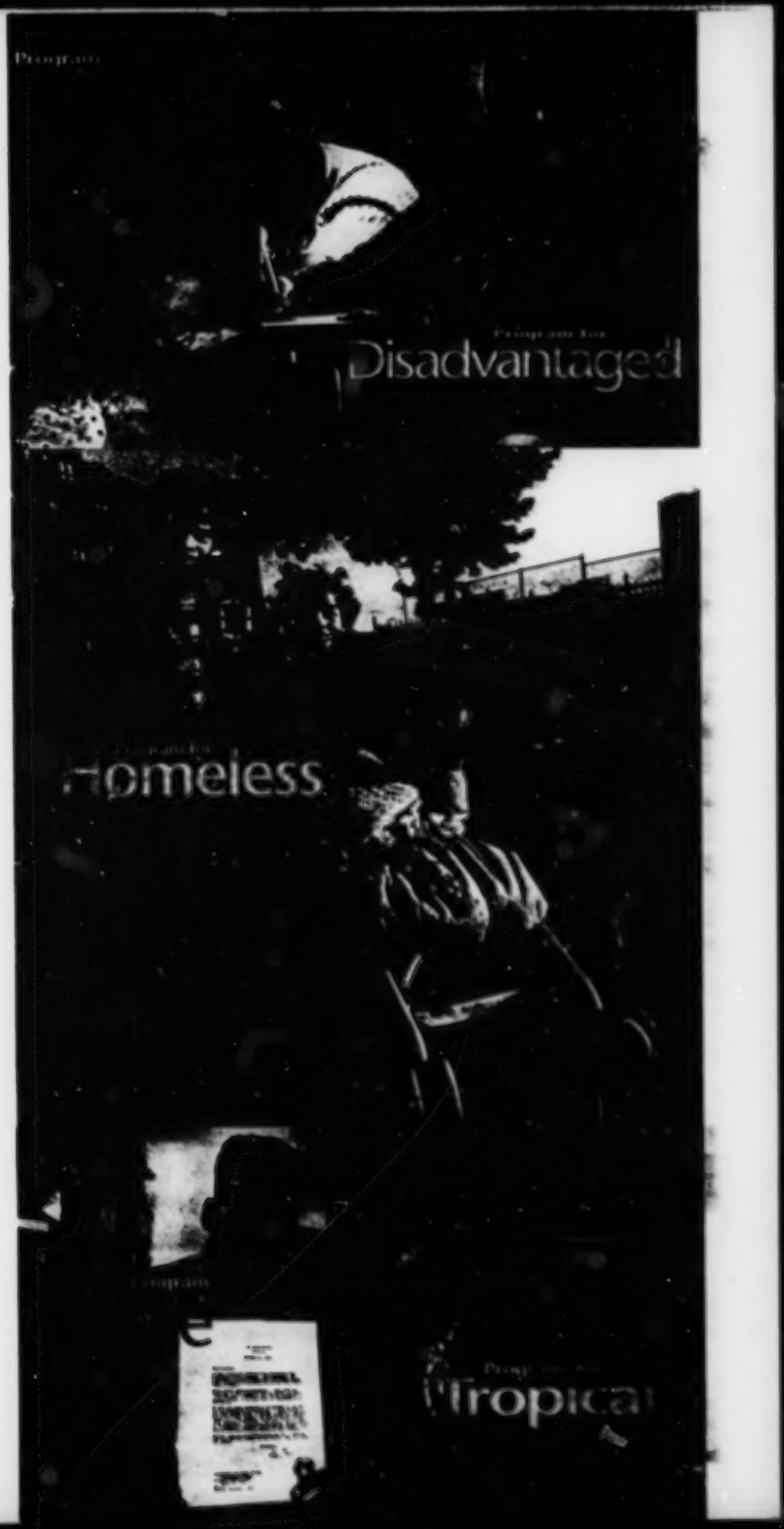

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Report of the President

On Evaluation

The Edna McConnell Clark Foundation is committed to making a difference in the lives of people who are poor and disadvantaged. We start by identifying social problems on which resources of our size might make an impact. We work in partnership with our grantees, first, to develop innovative approaches to dealing with these problems and then, to put the most promising approaches into common practice. Thus, evaluation — the application of disciplined, critical, and informed judgment about what works and the search for explanations about why — is crucial to the effectiveness of our grantmaking.

Neither our board of trustees nor our staff view Clark as a research-oriented foundation. We are not in business primarily to advance understanding about social problems. Rather, we are outcome-oriented. We want to help change conditions affecting poor people by changing the institutions, policies, and systems intended to serve them. Our grantmaking programs embody a strongly held commitment to the dignity and worth of every person and to the importance of family and community in reaffirming that dignity and worth. And we go further than many foundations in translating that commitment into advocacy for particular approaches to social problems. Nevertheless, we know that the achievement of our objectives also depends on a commitment to improved understanding of these problems and ongoing evaluation of proposed responses.

The touchstone for evaluating our grantmaking is a set of five program strategies—for Children, Disadvantaged Youth, Homeless Families, Justice, and Tropical Disease Research—developed by the staff, vetted with committees of outside advisors, and approved by the board. Each strategy starts with a vision, then identifies goals and objectives for the program, markers of progress, and end points for Foundation involvement. The strategy also proposes the means by which to pursue the objectives and achieve the end points.

I do not want to exaggerate the power or precision of our grantmaking strategies. The strategies vary from program to program, and evolve over the life of a particular program, as we gain experience, test out ideas, obtain feedback, learn hard lessons, and take outside events into account. In effect, the program strategies both shape our evaluative judgments and are shaped by them, whether they are based on informal observations or on more rigorous studies.

We draw on studies that combine careful documentation, periodic observation, indicative hard and soft data, and reasoned judgments.

Moreover, to recognize the importance of evaluation is not to claim mastery over how to do it. Within both the board and the staff of the Foundation, we struggle constantly with how better to evaluate the approaches supported by our grantmaking. The Foundation has not established a separate office of evaluation, nor have we adopted any particular set of methodologies for all programs. Rather, we have turned to consultants and grantees as we have identified evaluation needs and opportunities within each of the programs. We have been pragmatic and eclectic in our pursuit of evaluative information.

On occasion, we may fund "scientific" evaluations based on experimental designs that include randomly selected treatment and control groups. But we are as likely to support in-depth ethnographic studies of specific cases as to support more quantitative studies involving large samples. Most often, we draw on studies that combine careful documentation, periodic observation, indicative hard and soft data, and reasoned judgments. Rarely do we expect to find that an approach that the Foundation has supported either works perfectly or not at all. For the most part, we fund evaluations to provide textural information about effectiveness that will help our grantees and us to learn and make changes in how they and we operate.

CHILDREN: EVALUATING EVALUATIONS

The Children's Program, a full decade into its current strategy, posits the vision that every child should have a permanent family. Within that vision, our goal is to prevent the unnecessary placement of children in out-of-home care when it is possible to keep children and their parents together safely. The objective of the Program is to make intensive family preservation services, based on a model called Homebuilders, part of the regular continuum of services available to troubled families across the country.

Several years ago, with as many as ten states embarked on taking the Homebuilders model statewide, we discussed with the advisory committee the need for more formal evaluations to inform state policymakers who would need to buy into the approach. At the advisory committee's urging, we commissioned Peter Rossi, a distinguished sociologist at the University of Massachusetts, to assess the state of evaluation of intensive family preservation services — how rigorous the evaluative studies to date had been and what conclusions could be drawn from them.

After reviewing the existing studies, Professor Rossi concluded that the criteria by which families were referred for the service had not been sufficiently rigorous or consistent to prove that out-of-home placements had actually been prevented. He suggested that we abandon placement prevention as a quantifiable goal and make improved family functioning our primary evaluative criterion for family preservation services.

After much discussion, we decided to stick with placement prevention as our primary goal, given its strategic importance in the rationale for shifting public resources from out-of-home care to family preservation. We also decided, however, to give high priority in our technical assistance to figuring out how to concentrate the services more precisely on families for whom placement of their children would otherwise be virtually certain. With the Rossi report, this "targeting issue" became a major concern within the Children's Program.

Michigan is a state that has built a strong and stable family preservation program called Families First. In response to the Rossi study, the Foundation last year funded an evaluation of the program, employing an experimental design. Comparing a "treatment" group with a control group, both of which are composed of families at imminent risk of place-

ment, the study is intended to assess the effectiveness of Families First not only in preventing out-of-home placement, but also in improving the well-being of the children within their families. Beyond this kind of formal evaluation, we have begun exploring the use of self-assessment tools with Michigan and other states to help them to gauge their progress in implementing family preservation and respond to problems as they arise.

Meanwhile, we expect the federal government to undertake a set of evaluations of family preservation. Given the passage of the Budget Reconciliation Act of 1993, which contains $1 billion for family preservation and family support in the states over the next five years, the government has acquired a direct interest in such studies. On a modest scale, the Michigan study might help point the way.

DISADVANTAGED YOUTH: EVALUATION AS A TWO-WAY STREET

The Disadvantaged Youth Program seeks to promote urban middle school reform around improved student achievement. Four and a half years ago, in making our initial grants for reform initiatives in Baltimore, Louisville, Milwaukee, Oakland, and San Diego, we enlisted an education research center to build in a documentation process and a series of evaluations, which were to assist in refining the program as it evolved and to draw conclusions about its eventual quality and impact. Even though the evaluators' research prospectus was shared with relevant sites and the research itself was highly professional, we came to realize that the administrators and teachers at the sites basically viewed the research as an unfriendly act. From their perspective, it was meant to monitor and judge the efforts of the five districts and 12 schools and to advance the interests of the Foundation and the researchers—not of the sites.

As the reform initiatives and the evaluative research progressed, we made some mid-course corrections. For example, we were able to reduce the time before the sites received preliminary feedback from the evaluators and to increase the joint stocktaking between the evaluators and our technical assistance providers. At the same time, we came to understand more deeply that by not involving the sites in shaping the evaluations, we had not only failed to gain their full cooperation in the studies, but we had also taken responsibility from them for their own performance. We began to see that it was important—as part and parcel of the reform process itself—for the sites to be committed to

assessing the effects of their initiatives on student achievement.

Surely, the summative evaluation that is still in progress should contain findings of interest to people involved in education reform well beyond the five districts, and it should suggest which approaches supported by the Foundation were most effective. We now know, however, that the provision of outside evaluative information does not in itself spur reform. We have become more sensitive to the need for educators to help design the evaluations. Indeed, we have increasingly relied on administrators and teachers to engage in self-assessments of the progress in their own schools. They design the assessments in keeping with the goals and objectives of their reform initiatives, build in timely mechanisms to reflect on their findings, and continually revise their approaches based on lessons learned.

We began to see that it was important—as part and parcel of the reform process itself—for the sites to be committed to assessing the effects of their initiatives on student achievement.

It is significant that the principals of the 12 schools in the program chose to focus on assessment at their cross-district leadership institute last year. More and more, assessment teams of teachers and administrators are analyzing portfolios of student work, observing the classrooms of other teachers, conducting surveys, and completing questionnaires. They are looking critically at new approaches, comparing them against the old, and making adjustments. As administrators and teachers become more seriously committed to reform, they are also becoming more aware of the need to know what practices contribute most to student learning and how best to implement them.

HOMELESS FAMILIES: EXAMINING INTENSIVE CASE MANAGEMENT

The Homeless Families Program is aimed at integrating formerly homeless families into refurbished apartment buildings and new neighborhoods in New York City, primarily in Central Harlem and the South Bronx. The Program works with resettled families who are most at risk of reverting to homelessness. One of several approaches we have pursued over the past four years has been the development of intensive case management services.

Adapted from the Homebuilders family preservation model and piloted by four social service agencies, this approach was intended not only to prevent repeat shelter use but also to reunify families and avert out-of-home placement of children, to ensure the enrollment and attendance of children in school, and to promote adequate health care, especially prenatal and well-child care.

In 1993, we received the interim results of a Foundation-funded quasi-experimental evaluation of the intensive case management approach, based on a year-long study of approximately 170 families, half of whom had received the service and half of whom had not. While the evaluation suggests that intensive case management makes some difference in the successful adaptation of families to their new neighborhoods, it raises as many questions as it answers about the methodology of the study and about the service—the definition of its goals and the criteria for making referrals. For example, is a three-month service like intensive case management an appropriate intervention for those families relocated into destitute, poorly managed housing in the most economically deprived neighborhoods? Beyond the effectiveness of intensive case management, the study points to the overriding importance in some cases of the quality of the housing itself and of public safety for the stability of the families in their new homes.

> All of this evaluative information—preliminary, messy, and inconclusive though it may be—is useful to further learning.

While the abstractness of the quantitative analysis used in the evaluation is not very helpful in conveying how or why intensive case management may work, we are awaiting the results of an ethnographic study that will document "best practices" by exploring in depth the experiences of four particular families with the service. We are also meeting with caseworkers from the four agencies and with families they have served to obtain

their viewpoints. Their observations, together with the ethnographic study, should provide a useful, qualitative complement to the quasi-experimental design of the initial evaluation.

All of this evaluative information—preliminary, messy, and inconclusive though it may be—is useful to further learning. The piloting of the intensive case management services and design of the evaluation occurred within a partnership among the Foundation, the four agencies, and a technical assistance intermediary. Thus, the communication within this group and with the evaluators should lead to open discussion of the evaluative findings and of revisions in the service that might follow. The outcome of their deliberations will also be of interest to New York City, which has just funded 13 agencies, including the original four, to expand the provision of intensive case management to resettled families.

JUSTICE: THE USEFULNESS OF NARRATIVE ASSESSMENTS

The Justice Program seeks to reduce the unnecessary incarceration of offenders who do not jeopardize public safety and to expand the range of sanctions between probation and imprisonment. Approximately five years ago, in response to the problems of prison overcrowding and of uncontrolled growth in corrections budgets, the Program began concentrating much of its grantmaking in Alabama and Delaware to see whether we could help bring about more balanced, economical, and humane criminal justice policies in those states.

After three years of experimenting with varying approaches to reform, we enlisted outside evaluators to assess the progress. Suspecting that the ways to reform are as diverse as the politics and cultures of the states themselves, we did not look for a rigorous evaluation of the Alabama and Delaware experiences. Instead, we sought out several seasoned observers to chronicle and document the experiences and to extract lessons from them. The evaluators relied on a combination of site visits, interviews, anecdotal observations, and indicative data for their findings. Perhaps the most valuable aspect of their work was in helping us to better articulate the objectives of our state-centered activities and to establish a more refined sense of the relationships and priorities among the activities.

The evaluators have assisted us in understanding more clearly what we have helped to accomplish in the two states, where our efforts have fallen short, the extent to which the shortfalls were within or beyond our control, and what we might be able to contribute

to reform efforts elsewhere. Now, as we expand into Pennsylvania and prepare to work in three additional states, we have asked one of the evaluators to develop a set of milestones and a system of data collection that will allow him and us to more systematically chart progress toward reform in all six states.

TROPICAL DISEASE RESEARCH: THE ROLE OF SCIENTIFIC INQUIRY

The Tropical Disease Research Program is intent on developing the means to control three debilitating diseases—schistosomiasis, or snail fever, and the two major infectious causes of blindness, onchocerciasis and trachoma—in the poorest regions of the developing world. Most of the research that we support through the Program includes an evaluative component, based on a rigorous experimental design, for that is the controlled nature of scientific inquiry, as opposed to the more disorderly search for social policy.

In the area of vaccine development, which occupies the lion's share of our grantmaking in Tropical Disease Research, we support not only individual laboratories to pursue investigations, but also task forces to coordinate the testing of the most promising antigens from the laboratories. For example, the antigens against onchocerciasis identified by individual scientists are submitted by the Oncho Task Force for screening under comparable conditions in mouse and gerbil models. Those antigens that elicit a protective response will move to higher level testing in cattle and primates, and ultimately in humans. A Schisto Task Force, based at the World Health Organization (WHO) in Geneva, is following an analogous procedure for antigens against schistosomiasis.

Over the past year, we have begun to see the fruits of evaluative research in other areas of the Program. After a study by investigators from Johns Hopkins University and the Health Ministry of Tanzania demonstrated the effectiveness of face washing in preventing trachoma among children, the Ministry has begun to train district health workers to raise the awareness of villagers in trachoma-endemic areas. After evaluating several surgical techniques to correct trichiasis, other researchers have identified the one that is most effective, and WHO has now trained—and evaluated—ophthalmic nurses in that technique.

With the support of the Partnership for Child Development, an international coalition of agencies committed to improved child health, the Ghanaian Ministries of Health and Education have initiated a national program to control schistosomiasis, other intestinal parasites, and micronutrient deficiencies in school-age children. The initiative builds on

Foundation-funded research in Kenya that demonstrated the effectiveness of drug therapies for treating schoolchildren with schistosomiasis and thereby controlling the transmission of the disease within the larger community.

LESSONS LEARNED

Based on our experience with evaluation, we have learned some lessons not only about what works in Foundation-supported programs and projects, but also about evaluation itself.

1. Except in Tropical Disease Research, which is our only strictly science-based program, we have learned not to expect definitive answers from the evaluative research that we fund. What we can almost always expect is vigorous discussion about methodology and conclusions and their relevance for our purposes. Evaluative studies invariably raise questions, for example, about the suitability of program or project objectives and about whether they are sufficiently specific, attainable, and quantifiable. Studies in all of our programs have been helpful in reexamining criteria and redefining objectives.

Professional evaluators do not have a monopoly on expert opinion. We listen as well to the views of intended beneficiaries, frontline workers, program managers, and policymakers.

2. Just as often, more "rigorous," quantified evaluative studies provoke debate about whether the most significant achievements within programs can readily be measured. It is for that reason that educators continue to seek alternatives to standardized tests to assess student learning in important areas, such as critical thinking skills. Similarly, family preservation caseworkers question whether the elaborate scales of evaluators can adequately measure changes in the capacities of families to cope with crisis. We have learned to complement formal evaluation with alternative assessments, unstructured interviews, and ethnographic studies.

3. A related lesson is that professional evaluators do not have a monopoly on expert opinion. We make ample use of the findings of professional evaluators and respect the discipline and objectivity that they bring to their studies. But we

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There are times when it is tempting to wring our hands over evaluations. Given our commitment to accountability, learning, and effectiveness, however, we are determined to keep wrestling with how best to evaluate our grantmaking.

listen as well to the views of intended beneficiaries, frontline workers, program managers, and policymakers, who may have vested interests and biases, but who also have firsthand knowledge and valuable insights. These viewpoints are even more compelling when informed by commitment to self-assessment and training in its techniques, as we have seen from our recent experience with education reform. From the perspective of advancing learning within our grantmaking programs, the best evaluative processes involve responsive interaction between independent evaluators and informed, self-critical program participants.

4. We have learned that there are opportunities and pitfalls inherent in decisions about when to undertake a particular kind of evaluation. Once a social services model shows sufficient promise to attract the interest of policymakers, pressures increase to subject the intervention to rigorous assessment. Premature evaluation, however—before bugs are worked out and the model is well articulated—can be confusing as well as illuminating. Given the scale to which intensive family preservation services have been taken during the last decade, it is clearly time for a demanding, multifaceted evaluation. By contrast, in our work with formerly homeless families, it is important to continue refining intensive case management on the basis of evaluative feedback, but it is probably premature to attempt a definitive evaluation.

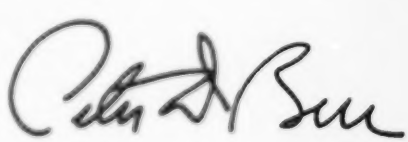
5. We have learned that evaluations are not just academic exercises or instructive processes; they can also be cannon fodder for political battles. The apparent precision but real uncertainty associated with most evaluative studies of social policies and programs means that the findings can be subject to multiple interpretations. Partisans for or against a service being evaluated may try to turn ambiguities in the findings to their advantage. A few opponents of family preservation, for example, seized on Professor Rossi's carefully drawn conclusion that the effectiveness of the service had not been conclusively demonstrated and

transformed it into the unwarranted conclusion that the intervention was not effective. Although we do advocate for particular programs and policies, we acknowledge our obligation to respect the integrity of well-designed evaluations and, whatever their findings, to make them available to interested parties.

Despite the pitfalls of evaluations and the misuses to which they can sometimes be put, we remain strongly committed to making disciplined, critical, and informed judgments about our efforts through the ongoing evaluation of the programs and approaches we support. Even if no evaluation of strategies to change public institutions and social policies is likely to be definitive, we know that we can gain new insights from a well-designed study simply by thinking hard about its limitations. We also believe that there is a rich reward to be gained from being inventive about self-assessment. There are times when it is tempting to wring our hands over evaluations. Given our commitment to accountability, learning, and effectiveness, however, we are determined to keep wrestling with how best to evaluate our grantmaking.

• • •

During 1993, the Foundation lost the services of three outstanding trustees. In March, Eleanor T. Elliott and Walter N. Rothschild completed nine years on the board. At the end of May, Drew S. Days III, who had been a trustee for five years, resigned in order to become the U.S. Solicitor General. We miss all three; each cared deeply about the mission of the Foundation and took trusteeship seriously. But we have been reenforced by the addition to the board of Ruth A. Wooden, president of The Advertising Council, and Mary E. Procter, director of the division of program planning at the U.S. State Department. They bring fresh perspectives and a sustaining commitment to the work of the Foundation.



Program for Children

All too often, when a family is in trouble, when children are neglected or abused, the common response of social service providers is to break up the family and place the children in out-of-home care. In 1991, there were more than 600,000 children living in foster care, group homes, juvenile justice facilities, or psychiatric institutions. The work of the Children's Program helps states develop and sustain intensive family preservation services to prevent unnecessary placement of children in out-of-home care by helping families stay together safely. The Program has assisted several states in their efforts to make these services a key part of the social support available to children and their families. As it enters the final phase of its work in family preservation, the Program for Children is also exploring new strategic opportunities for reform in the area of child abuse and neglect.

Getting Agencies Together to Strengthen Families

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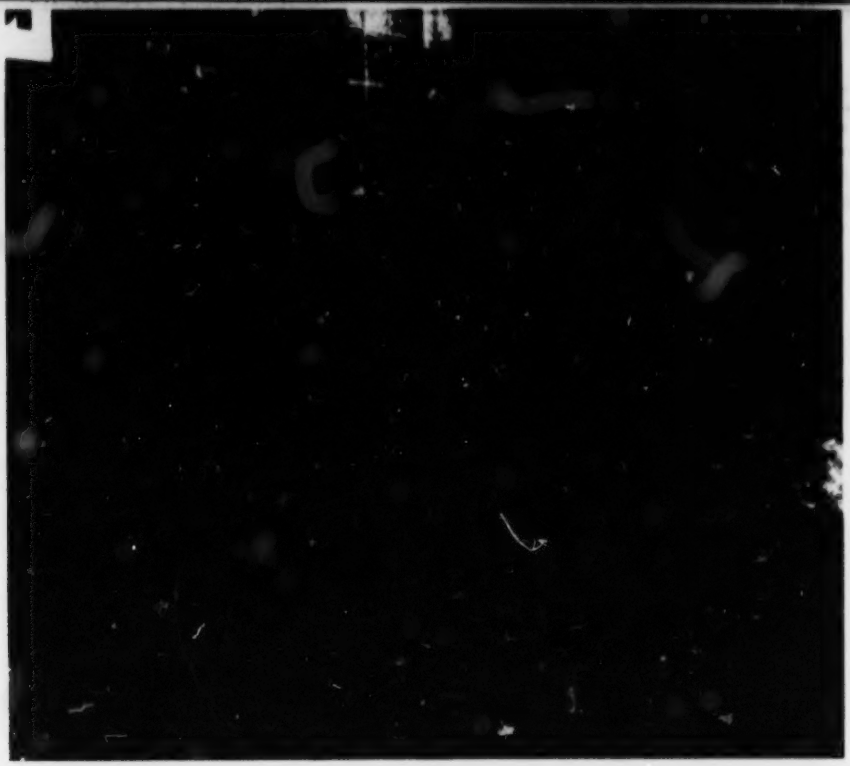

Families involved in Michigan's intensive family preservation initiative play a key role in developing their own treatment plan. Here, a mother, second from right, and three caseworkers finish up a team meeting.

Like most states, Michigan has struggled with the escalating costs and the diminishing returns of placing children who are abused, neglected, mentally ill, or in trouble with the law, in out-of-home care. At the end of 1987, there were approximately 8,000 children living away from their families—an increase of over 40 percent from ten years earlier. It was then that the state decided to change course. With support from the Foundation, Michigan began an initiative to provide troubled families with intensive counseling and support, giving them a chance to stay together safely. That project, known as Families First, became the starting point for sweeping reform that is dramatically changing the way social services agencies work with children and families.

Families First reaches troubled families at risk of having their children placed outside the home. The program, based on the Homebuilders' model of intensive family preservation services, is grounded in the belief that children need permanent families. Although there are cases where, because of severe abuse, children require an alternative home, with help, most families can stay together safely.

Homebuilders' family preservation programs provide intensive, short-term, home-based services, offering a comprehensive mix of counseling and practical support tailored to help families weather a period of crisis. Caseworkers assist no more than two families at a time. They are available around the clock and can spend as much time as needed, working with all members of the family. Caseworkers can provide psychological counseling for family members. They can access entitlement claims, pitch in with housework, and help settle children into a new school.

While the services that family preservation caseworkers provide may vary, there is an important philosophical thread woven throughout their work—respect for all families. In the past, social workers were trained to focus on what was wrong with a family. Today, family preservation caseworkers listen to families and develop services with their help. They look for strengths that might keep a family together, in spite of their problems. "We respond by reminding families," explains Bob Grabowski, a Department of Social Services supervisor in Livingston County, Michigan, "that despite their problems, they are together. We try to reframe problems in a positive way."

Michigan's involvement in Families First and its commitment to a new philosophy and approach for supporting troubled families prompted the state to

In Livingston County, Michigan, a troubled teen works with a team of helpers. At a community center, a caseworker, second from left, meets with his client and members of a substance abuse recovery group for motorcyclists who have become the boy's mentors.

infuse the values of the program into all of its agencies assisting families and children. In order to meet this goal, Michigan has also had to break down the barriers between agencies that limit the access families have to the diverse range of services they frequently require.

FAMILIES DIVIDED

In most states, local child welfare offices are supposed to work with children who are neglected or abused. Community mental health offices serve children who are mentally ill, and the courts work with children who are deemed "delinquents." Public health offices focus on substance abuse problems, and the school system is involved with children who have special education needs. "Often you have as many as 12 individual workers seeing a single family without even necessarily being aware of one another," explains David Knaggs, director of Michigan's family preservation initiative. Because problems are compartmentalized, caseworkers can miss the interrelatedness of, for example, a child's neglect at home and the difficulty he or she may be having in school. From its experience with Families First, Michigan learned that a comprehensive approach to handling a family's problems worked best. But responding to the whole family rather than to individual problems meant that agencies had to collaborate.

In 1992, Michigan launched a project called the Michigan Interagency Family Preservation Initiative, or MIFPI. So far, ten counties are involved in the experiment, and the state plans to expand it to seven additional demonstration sites in 1994. MIFPI currently involves executive directors, mid-level managers, and direct service workers from a diverse group of state and county agencies. With direction from state offices, county-based agencies—including the public health, community mental health, and child welfare departments, local schools, and the courts—are developing services together and looking for ways of pooling resources to fund innovative solutions to the problems that face troubled families. As Knaggs explains: "Instead of having clients come in and fit into our boxes, we are trying to organize ourselves so that families are maintained in their communities, in their homes, and have access to the services they need."

With funding from Michigan's Mental Health and Social Services Departments, and the Clark Foundation, each of the MIFPI counties has had access to technical assistance and training around interagency collaboration and family preservation. National experts and a team of state agency representatives are on call to provide assistance to county directors who are seeking new ways of financing and contracting services. Training workshops are held for supervisors and caseworkers on such issues

There were no incentives for agencies to meet, to share ideas or money, to shape services to a family's needs. Every agency had its own identity, and there was a great deal of "closemindedness."

as expanding service options for families, enlisting families as part of the treatment team, and breaking down barriers between agencies. Outreach has also been done to churches, schools, and civic groups to make them aware of the need for and desirability of helping families remain in the community and the possible roles they might play.

BRINGING EVERYONE ON BOARD

Livingston County lies at the crossroads between Lansing and Detroit. The county combines rural areas with suburban residential developments and is one of the fastest growing areas in the state.

Until recently, Livingston was not noted for harmony among its child services agencies. The agencies responsible for children worked independently and rarely communicated. Phone calls or case meetings to find out which agency was providing what services were rare. There were no attempts to incorporate other private or public agencies in order to support a family so that they could get through a crisis and remain together. Caseworkers worked alone, and often, says Bob Grabowski, of the Department of Social Services, "it was easier for them to remove a child from the home" when there was trouble.

Funding restrictions meant that only the primary agency assigned to a case could spend money to purchase services for the family. There were no incentives for agencies to meet, to share ideas or money, to shape services to a family's needs. Every agency had its own identity, and there was a great deal of "closemindedness," Grabowski recalls. "Each agency felt it knew what was right for kids and families. The attitude was that 'We are the professionals who know what's best for children and families.' "

Over the last few years, things have slowly begun to change. In 1992, Livingston County launched its Families First program. Three agencies—community mental health, the Department of Social Services, and the juvenile court—took a dramatic step toward integration by splitting the costs of running the program and jointly making referrals. Since it became a MIFPI demonstration site, the county has expanded cross-agency collaboration even further. According to David Fitzgerald, who directs the county's Department of Social Services, becoming part of MIFPI in 1992 "provided a focus and additional boost to our collaborative work. It kept us moving toward further integration and validated that we were on the right track and doing a good job."

Livingston's interagency initiative began at the top, with leaders of key public and private agencies represented on an executive planning committee responsible for identifying gaps and duplication of services and ensuring that services are coordinated among the different agencies. The committee has gotten together to review agency budgets and develop ways for staff to share their resources and gain more access to the funding needed to help stabilize troubled families. The flexibility has given caseworkers an opportunity to provide families with the kind of creative and practical support that was once out of reach. A family living in a rural area of Livingston County, for example, was out of touch with friends and relatives, had no access to services,

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and was without a phone. The team of caseworkers assisting them decided to get a telephone hooked up. According to Grabowski: "In the past, it would have been outlandish to use money from counseling to buy a telephone. But the telephone can create an opportunity for a parent who is isolated to talk to other people." Making connections, he says, can go a long way to restoring stability to a troubled family.

Teams of mid-level agency managers, parents, school nurses, counselors, and caseworkers regularly meet to examine individual cases and find new solutions to the problems that destabilize families. The experience, says Sherry Whalen, a program director at the county's office of community mental health, broadens the ability of people to see how a child's needs are interrelated. An educator attending a team meeting, for example, "might realize that you cannot work on the child's education needs until the family has a stable environment. You begin to prioritize the family's needs and put the agency's interests where they fit relative to the child's and family's needs."

"Wraparound services" are among the new initiatives that have evolved out of the agencies' joint efforts to make a range of supports available for families. Wraparound services work by pulling together a team of professionals, friends, family members, and others who are interested in helping out the family. Members of the team brainstorm and develop a plan that can be "wrapped around" the family to keep them going and prevent out-of-home placement. As part of the wraparound services provided to a family, for example, a child who is having difficulty staying in school will be assigned a "buddy guard." A volunteer or agency staff member accompanies the youngster to school and will stay until the child "gets built back into the classroom," according to David Fitzgerald. He says that the county is looking beyond professional counseling for troubled families by using buddy guards, respite care, and in-home aides who help parents with basic home management skills. "We'll do whatever it takes to keep a family together in the community," he adds.

At a pilot session to test how the agencies might use wraparound services, supervisors from child welfare and community mental health, a school counselor, a visiting nurse, and a court supervisor met to examine three cases. One case involved a teenage boy who had been arrested on numerous occasions, dropped out of school, and fought violently with this mother. He had experienced multiple placements. Intensely troubled, he was removed from child care institutions. He had been bounced out of a juvenile detention center after being there for only a day.

According to Sherry Whalen, who took part in the pilot wraparound session, agency staff took up the charge of adopting a single mission for the case and combining funds. "When we sat down to do a collaborative plan, we didn't think about who was going to serve this kid and in what program. We thought about what this child needed and came up with an individualized set of services for him."

Whalen said that instead of returning the teenager to school, where he had failed before, or sending him to traditional outpatient treatment, the group explored alternatives like getting him work-study credits and involving him in a mentoring program. One group member posited the idea of tapping the boy's interest in motorcycles as a way of reaching him and suggested contacting a local 12-step program for motorcycle enthusiasts who were recovering substance abusers, a group called Riders of Recovery. The recovery group began working with

"When we sat down to do a collaborative plan, we didn't think about who was going to serve this kid and in what program. We thought about what he needed and came up with services for him."

the youngster, and one of its members became his "unofficial big brother." Whalen says that having a team of people interested in a child makes such creative solutions possible: "The group begins to develop a synergy that leads to a better decision than one person acting alone."

To better match services to what children and families need and want, caseworkers and their supervisors have begun listening to families more and focusing on family strengths rather than deficits. Caseworkers representing different agencies will meet with a family together or will designate a team manager who is responsible for gathering information about the family and the services they're getting. The arrangement ensures that the issues that are important to the family get addressed quickly.

Collaboration has also strengthened relationships between families and service providers and among service providers themselves. According to Whalen: "Caseworkers feel it's their job to help other agencies, as well as meet the needs of their own agency and their clients. Staff are no longer comfortable blaming others when families aren't getting what they require." When there is a problem getting a child or family a particular service, she says, the agencies together try to come up with an alternative solution and change their policies or funding procedures to accommodate a family in the community.

SIGNS OF SUCCESS

Changes made in the way agencies work with families and with each other are beginning to have an impact on reducing the number of out-of-home placements. Two years ago, Livingston County's community mental health department had, on average, 12 children in state hospitals and ten in residential care. Currently, the department has no children assigned to state hospitals, and only two are in residential placements. And where out-of-home placement is necessary, the stays, which once averaged about three years, are much shorter: from three to six months. Like the other agencies involved in MIFPI in Livingston County, community mental health is committed to making every effort to place children in the least restrictive setting and offers children who are already in out-of-home placement the services they need to be reunited with their families quickly.

The next step in Livingston County's interagency initiative is to involve more of the line workers. The county held a training session on wraparound services that was attended by 150 caseworkers, school counselors, probation officers, foster care workers, community health workers, and others. In 1994, the county plans four additional training sessions, including workshops on interagency collaboration and team building.

Interagency collaboration is permeating the agencies that serve children and families at all levels, diminishing the categorizing of cases and enabling staff to see families with problems as the responsibility of all the family services agencies. Through the county's work with MIFPI, Sherry Whalen explains, "we have begun to develop a notion that these kids are community kids."

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STATE REFORM

STATE OF ALABAMA DEPARTMENT OF HUMAN RESOURCES — $6,000
Montgomery, Alabama
To support Alabama's family preservation initiative.

AMERICAN PUBLIC WELFARE ASSOCIATION — 75,000 — 56,300
Washington, D.C.
For technical assistance on state and federal family preservation efforts.

BEHAVIORAL SCIENCES INSTITUTE — 508,000
Federal Way, Washington
For training, quality assurance, and communications to assist in expanding the use of the Homebuilders model of family preservation.

BEHAVIORAL SCIENCES INSTITUTE — 1,000,000 — 345,400
Federal Way, Washington
For technical assistance in intensive family preservation services and in the application of Homebuilders principles to the prevention of child abuse and neglect.

CENTER FOR THE STUDY OF SOCIAL POLICY — 120,000
Washington, D.C.
To support technical assistance for states implementing family preservation services.

CENTER FOR THE STUDY OF SOCIAL POLICY — 478,200 — 116,000
Washington, D.C.
To continue technical assistance for states implementing family preservation services.

CHILD AND FAMILY POLICY CENTER — 112,000 — 8,800
Des Moines, Iowa
For the development of materials to help state administrators establish procedures for targeting family preservation services to children at imminent risk of unnecessary out-of-home placement.

CHILD WELFARE LEAGUE OF AMERICA, INC. — 20,000
Washington, D.C.
To provide technical assistance in family preservation nationally and to encourage support for Homebuilders-type services among private agencies.

CHILD WELFARE LEAGUE OF AMERICA, INC. — $200,000 — $150,200
Washington, D.C.
For technical assistance in integrating family preservation services, values, and principles into the continuum of care for children and families.

CHILDREN'S DEFENSE FUND — 181,000
Washington, D.C.
To improve family preservation and related services for children and families across the child welfare, mental health, and juvenile justice systems.

CITIZENS FOR MISSOURI'S CHILDREN — 92,000
St. Louis, Missouri
For technical assistance for Missouri's efforts to expand family preservation programs and to reform services for children and families.

COMMUNICATIONS CONSORTIUM MEDIA CENTER — 107,000
Washington, D.C.
For a communications strategy in support of family preservation services.

D.J.J. FUND, INC. — 95,000 — 39,200
New York, New York
For establishing a family preservation program to be administered and operated by the three child- and family-serving agencies of New York City.

FAMILY VIOLENCE PREVENTION FUND — 175,000 — 45,600
San Francisco, California
To develop, test, and disseminate a training module on domestic violence to be used as part of Homebuilders training for family preservation programs.

FUND FOR THE CITY OF NEW YORK — 9,000
New York, New York
For New York City's family preservation initiative.

FUND FOR THE CITY OF NEW YORK — 53,500
New York, New York
To continue strengthening staff development for New York City's family preservation initiative.

JUDGE DAVID L. BAZELON CENTER FOR MENTAL HEALTH LAW — 175,000 — 55,900
Washington, D.C.
To build new constituencies for family preservation and promote a family preservation agenda within the federal and state mental health systems.

JUVENILE LAW CENTER — 92,500
Philadelphia, Pennsylvania
To encourage family preservation in Pennsylvania.

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STATE OF MICHIGAN DEPARTMENT OF SOCIAL SERVICES — $50,000
Lansing, Michigan
For coordinating the expansion of family preservation services and testing a model for reorganization of local human services.

NATIONAL CONFERENCE OF STATE LEGISLATURES — 288,000
Denver, Colorado
For technical assistance and training related to legislative initiatives in family preservation.

NATIONAL GOVERNORS' ASSOCIATION CENTER FOR POLICY RESEARCH — 9,500
Washington, D.C.
To inform governors about family preservation and to provide technical assistance to states.

STATE OF NEW YORK DEPARTMENT OF SOCIAL SERVICES — 38,000
Albany, New York
To provide partial support for a coordinator of the state's family preservation initiative.

THE PITON FOUNDATION — 25,000 — 12,500
Denver, Colorado
For transitional funding of training and technical assistance for Colorado's family preservation initiative.

RESEARCH FOUNDATION OF THE CITY UNIVERSITY OF NEW YORK — 14,000
New York, New York
To expand the technical assistance capacity of the Center for the Study of Social Policy at Hunter College to support both national and regional efforts in family preservation.

RESEARCH FOUNDATION OF THE CITY UNIVERSITY OF NEW YORK — 161,000 — 122,300
New York, New York
For continued technical assistance to support both national and regional efforts in family preservation.

RHEEDLEN FOUNDATION, INC. — 120,000 — 90,000
New York, New York
To increase support for family preservation within the black community in New York State and City.

UNIVERSITY OF SOUTH FLORIDA — 120,000 — 19,400
Tampa, Florida
To provide technical assistance in implementing family preservation services.

UNIVERSITY OF SOUTH FLORIDA — $72,000
Tampa, Florida
To continue support for the integration of family preservation into the mental health system and collaboration among mental health, child welfare, and juvenile justice agencies.

STATEWIDE YOUTH ADVOCACY, INC. — 50,000
Albany, New York
For technical assistance, public policy analysis, and education related to New York State's family preservation initiative.

TANGERS PLACE — 65,000
Des Moines, Iowa
To provide technical assistance to family preservation-related programs and projects.

STATE OF TENNESSEE DEPARTMENT OF FINANCE AND ADMINISTRATION — 75,000
Nashville, Tennessee
For technical assistance in family preservation and in general restructuring of services.

STATE OF TENNESSEE DEPARTMENT OF HUMAN SERVICES — 9,900
Nashville, Tennessee
For coordination, training, and evaluation of the state's family preservation initiative.

YOUTH LAW CENTER — 83,000
San Francisco, California
For technical assistance to states wanting to implement family preservation policies in their juvenile justice systems.

LEGAL & JUDICIAL REFORM

ADMINISTRATIVE OFFICE OF COURTS — 27,000
Montgomery, Alabama
To improve court and social services practices in preventing unnecessary placement of children in two counties in Alabama.

AMERICAN BAR ASSOCIATION FUND FOR JUSTICE AND EDUCATION — 95,000
Washington, D.C.
For a study of urban family courts and for technical assistance in developing and disseminating standards for juvenile and family courts.

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BOARD OF COMMISSIONERS OF NEWTON COUNTY, GEORGIA $17,000
Covington, Georgia
To improve court and social services practices in reducing the unnecessary placement of children in three counties in Georgia.

CHILD WELFARE LEAGUE OF AMERICA, INC. 89,000
Washington, D.C.
For three regional training institutes on the Adoption Assistance and Child Welfare Reform Act of 1980.

NATIONAL CASA ASSOCIATION 105,000
Seattle, Washington
For the development of case-handling guidelines for court-appointed volunteers.

NATIONAL COUNCIL OF JUVENILE AND FAMILY COURT JUDGES 265,000
Reno, Nevada
For training and consultation to increase compliance with the requirements of the Adoption Assistance and Child Welfare Reform Act of 1980.

OTHER

AMERICAN ASSOCIATION FOR MARRIAGE AND FAMILY THERAPY RESEARCH AND EDUCATION FOUNDATION, INC. 75,000 25,000
Washington, D.C.
For informational roundtables for federal policymakers about family preservation and family support services.

CATHOLIC CHILDREN'S AID SOCIETY OF METROPOLITAN TORONTO 18,000
Toronto, Ontario, Canada
For Homebuilders family preservation training.

CHILD AND FAMILY POLICY CENTER 39,400 7,100
Des Moines, Iowa
For the National Center for Service Integration to prepare a monograph on how frontline practice in child and family services should change in order to achieve systemic reform.

CHILD WELFARE LEAGUE OF AMERICA, INC. 28,000 28,000
Washington, D.C.
For a meeting of experts in family preservation and family support services.

COMMONWEAL 5,000
New York, New York
For a study of exemplary foundation-funded programs for disadvantaged children.

COMMUNICATIONS CONSORTIUM MEDIA CENTER $99,500 $99,500
Washington, D.C.
For a series of focus groups to examine opinions on existing mechanisms for protecting children.

COUNCIL ON FOUNDATIONS, INC. 5,000 5,000
Washington, D.C.
For the affinity group of grantmakers funding programs for children and youth.

EDUCATIONAL BROADCASTING CORPORATION 33,400
New York, New York
To reedit material from "Families First with Bill Moyers" in order to create four short videos on family preservation issues.

FAMILY RESOURCE COALITION 40,000 24,000
Chicago, Illinois
To prepare a report on how family support services protect children from abuse and neglect and how family preservation and family support services could be better coordinated.

PRESIDENT AND FELLOWS OF HARVARD COLLEGE $75,000 95,000
Cambridge, Massachusetts
For a series of meetings organized by the John F. Kennedy School of Government to explore new ways to protect children from abuse and neglect.

INTENSIVE FAMILY PRESERVATION SERVICES NATIONAL NETWORK 150,000 25,000
New York, New York
To launch the Intensive Family Preservation Services National Network as a national association of Homebuilders-type programs.

NATIONAL CHILD WELFARE LEADERSHIP CENTER, INC. 100,000 50,000
Hollywood, Florida
For a random assignment evaluation of Wayne County Michigan's family preservation program.

WHARTON CENTER FOR APPLIED RESEARCH, INC. 5,000
Philadelphia, Pennsylvania
To document the process of bringing Homebuilders to New York City.

TOTAL PROGRAM $3,848,100 $4,023,000

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Program for Disadvantaged Youth

In Chattanooga, principals and teachers are joining forces to turn their schools around. East Lake Middle School Principal Hardin Satterfield, right, and teacher Susan Farrar have introduced changes in their school that help students like seventh grader Randy Dixon.

Change does not come easy for urban middle schools. Caught between traditional ideas of how young adolescents learn and the modern challenges of poverty, violence, and fractured families, teachers in inner-city schools often have trouble just getting through each day. Many educators realize that they must relearn how to teach and begin seeing every student as capable of success. The Program for Disadvantaged Youth concentrates its grantmaking on a core group of school districts in eight cities that are committed to improving education in grades six through eight. In 1989, the Program began with Baltimore, Louisville, Milwaukee, Oakland, and San Diego, where a group of 12 schools adopted the goal of raising expectations, content, and support for all students. The Program extended its grantmaking in 1992 to include support for reform in Chattanooga, Tennessee; Jackson, Mississippi; and Long Beach, California. District administrators and school faculty in these three cities joined to develop a vision, strategy, plan, and timetable for improving achievement in their middle schools.

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Chattanooga Teams Up for Middle School Reform

When Hardin Satterfield took over as principal of Chattanooga's East Lake Middle School in November 1991, he imagined himself to be something of a knight on a white horse coming to the school's rescue. As an outsider, he could zero in on the problems facing the troubled inner-city school—students who weren't learning, teachers who weren't in touch with their students' needs. He was confident he could fix things and, as he put it, was ready to "ride in and slay the dragons."

It didn't take him long to notice that he was flanked by a leader with ideas of her own. Susan Farrar had spent 18 years of her 27-year career teaching language arts at East Lake. A leader among the school's faculty, she'd ridden out many changes over the years. In her mind, Satterfield's arrival was the latest in a long line of twists and turns. She was not about to be swept away. "I pretty much knew what was happening in the school, knew our kids," Farrar explains. Satterfield, as she recalls, acted like he knew all the answers and wanted to change things "overnight." Farrar was prepared to set him straight.

Throughout their first year together, the pair clashed repeatedly. Satterfield believed that the school's main problem was that teachers weren't doing as much as they could for their students. He wanted the staff to adopt new teaching strategies, such as cooperative learning and more interdisciplinary activities. Farrar resisted, pointing out that her students were "out of control" and needed a more prescriptive approach to discipline, with clear consequences for bad behavior. There were many battles. At staff meetings, she got loud; he got loud. They both knew something had to give. "Sue and I had a common goal," Satterfield recalls. "We wanted things to be better at East Lake Middle School, but we were at odds over how to accomplish that."

Until recently, the Chattanooga school district was splintered between those who were seeking fast change and others who, with the arrival of each new wave of reform, closed their classroom doors to wait out the storm. Hardin Satterfield and Susan Farrar exemplified the divisions in the district. Though they both cared deeply about their school and their students, they were fiery adversaries under the same roof.

Fate dealt them a decisive hand in the fall of 1992, when both Satterfield and Farrar found themselves representing East Lake Middle School on a district-wide committee to chart a course for middle school reform. The committee was part of an initiative supported by the Foundation.

Satterfield and Farrar called a truce early on in the committee's deliberations. "We decided," explains Satterfield, "that since we were going to be representing East Lake Middle School, we

needed to agree to disagree and begin to do it in a more civil manner." They began working together on committee tasks and talking about solutions and strategies for their school. The committee helped them gain professional respect for each other, and, Farrar explains, "we saw strengths in each other that we hadn't noticed before."

PATHS TO REFORM

Since 1988, the Foundation's Program for Disadvantaged Youth has helped urban school districts around the country reform their middle schools. The Program's efforts have been concentrated mainly in Baltimore, Louisville, Milwaukee, Oakland, and San Diego, where, with the help of outside experts, curriculum resources, and an infusion of hands-on staff development, schools are working hard to provide their students with an education of high expectations, high content, and high support.

Although there have been many success stories in each of these districts, the process of middle school reform has also been fraught with struggles and setbacks. Generally, the five districts jumped into reform without much planning. Thus, in the next stage of the initiative, the Foundation awarded one-year planning grants in 1992 to school systems in Chattanooga; Jackson, Mississippi; and Long Beach, California. The grants gave these districts what they needed most: time—time to reflect, time to communicate about problems and seek solutions, time to try out new ideas about what improved middle schools might look like. In accepting a $125,000 grant, each of the districts took up the challenge of setting their middle schools on a new course. They passed school board resolutions outlining their commitment to middle school reform. And, before getting under way, each district was asked to show that a majority of the middle school faculty in the school system supported reform and were willing to participate in the initiative.

> At their early meetings, members of the planning committee were "formal, polite, and uncomfortable with each other." As the months wore on, they began sharing ideas and strategies.

During the year, the three districts struggled to move toward reshaping their schools, and in many instances succeeded. Chattanooga offers perhaps the best example of the difference one year can make in the life of a school system on the brink of change. Once a district that saw itself as down and out, Chattanooga emerged aware of the possibilities and ready to work hard to achieve them. The district has become, as Associate Superintendent Dr. Paula Potter likes to describe it, "the little engine that could."

TRYING TOGETHERNESS

The Chattanooga school system serves a predominantly low-income, inner-city population. More than half of the district's 21,000 students are African American, as are 38 percent of its staff. With annual expenditures of $3,600 for each student, Tennessee ranks last in the country in per capita support for public education. Limited public funding for education has prompted the district to seek outside sources

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of support. In addition to the Clark Foundation's grant, Chattanooga received support from the National Science Foundation to upgrade math and science instruction and the Dewitt Wallace-Reader's Digest Fund to transform elementary and middle school libraries.

The force behind Chattanooga's Clark initiative is a planning committee composed of the principal and a teacher from each of the district's 11 middle schools, plus representatives from the central office. Over a one-year period, the group met at least twice each month, made site visits to other school districts, and attended national middle school meetings. Its quest was to decide what Chattanooga middle schools should look like and figure out how to make the vision a reality. The first step to reform, this diverse group realized, was that everyone had to work together.

The planning committee, which cut across the system's hierarchy and included teachers as well as administrators, was a first for Chattanooga. "We were all aware of each other, but that's as far as it went," explains Diana Dankowski, a former teacher who now coordinates middle school improvement for the district. What kept the schools apart was a culture of competition and deep-seated independence where, according to Edna Varner, principal at Chattanooga Phoenix School Two, "each school did its own thing."

Over the course of the planning year, however, that began to change. Dankowski remembers that, at their early meetings, committee members were "formal, polite, and uncomfortable with each other." As the months wore on, she noticed more openness and cohesion. Committee members began sharing ideas and strategies with teachers and principals. They worked in a way they had never done before. For example, instead of submitting reports to the school system independently, as they had always done in the past, the schools joined forces and, as a unified front, submitted their ideas and recommendations on such topics as improving test scores and increasing community involvement. "We began sharing what we were doing," explains Varner, "so that everyone could benefit from what we are doing individually. It helped the whole school system move forward."

A COLD WAR ENDS

Not only did the planning committee melt the ice among individual schools, but it also brought the central office and the schools into a closer alliance. Paula Potter joined the Chattanooga school system as assistant superintendent for teaching and learning in 1991; in 1993, she was promoted to associate superintendent. Her responsibilities, which included focusing on middle school education, landed her the role of the district's representative on the planning committee. When the committee formed in 1992, Potter was perceived as "one of the new kids on the block" and felt that she was not trusted by the schools with which she was working. Potter remembers the cold shoulder the group gave her at their first meeting. "No one wanted to sit near me," she remembers.

Rather than being considered a partner, the central office had always been seen as an entity that imposed its demands on schools. In the past, the schools could talk about what they wanted to do, but ultimately the district decided what changes would be made.

In 1988, for example, when the district decided to reorganize its junior high schools into middle schools, teachers and principals were never asked how they felt about making the switch. According

to Potter, "They were simply told that the restructuring was going to happen over the summer." When the school year started, a group of 16 schools had shrunk to 11; students were shuttled to new schools; and teachers received little if any preparation for working with early adolescents in the newly structured schools.

Working with the planning committee gave Potter a chance to mend some fences. "We aired all of our differences and all of the leftover broken promises. Everything got dumped on the table and worked through piece by piece." She remembers that, at first, the committee was reluctant to believe that a plan for middle school reform hadn't already been mapped out by the district, making its role superfluous. "They thought I had all the answers in my back pocket and that I was just going to pretend to involve them." But Potter did not have the answers, and she told the group it would have to reach a consensus about how it wanted to go about changing its middle schools.

SHIFTING GEARS

Eventually, the committee began talking about excellence for all students, a subject that challenged many members who had started the school year believing that low-achieving students could not succeed. Committee members learned, too, that in order to get students to improve academically, teachers and administrators had to perform at higher levels. They set their sights on staff development so that teachers could retool and become more effective in the classroom. The committee proposed adopting elements of a successful instructional program, called Paideia, that had been piloted at three Chattanooga middle schools.

Paideia, from the Greek word meaning "the upbringing of a child," is based on an education philosophy developed by Mortimer J. Adler in 1982. It advocates a single-track curriculum that provides an equal opportunity for all students to receive the same high quality education. Paideia teaching strategies stress academic coaching and Socratic seminars. In Chattanooga, the program was pioneered at the Chattanooga School for the Arts in 1986. Nationally, school districts from Anchorage to Miami are using Paideia teaching methods, and at least 200 schools have adopted elements of the model.

> At East Lake Middle School, the planning team abolished bells and implemented alternative scheduling in the seventh grade, giving teachers longer periods and more flexibility in using instructional time.

In deciding to adopt components of the program in all the district's middle schools, Chattanooga became the only school system working with the Foundation to base its reform on a single model.

In addition to implementing components of Paideia, the committee worked on other strategies to take what they were learning back to their individual schools. They wanted to change the climate in their schools to empower teachers by including them in decision-making. The central committee representatives joined with faculty members on

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In Chattanooga, teachers, principals, and the central office have become partners in reform. Here associate superintendent Paula Potter and principal Kirk Kelly of Alton Park Middle School spend time with sixth grader Farrell Williams.

school-level planning teams for regular meetings to share strategies and ideas. Each of these planning committees was charged with guiding the process of reform in their schools.

At East Lake Middle School, Hardin Satterfield, Sue Farrar, and their planning team dismantled the school's rigid master schedule. They abolished bells and, with Farrar leading the way, implemented alternative scheduling in the seventh grade, giving teachers, now grouped in teams, longer periods and more flexibility to use instructional time as they needed.

Though transferring what the committee has learned represents a challenge, there is evidence that the hope and enthusiasm members have about what can happen in the district has begun to spread. According to Diana Dankowski, teachers who, in the past, might have looked at the changes under way and closed their doors, hoping this, too, would pass, are beginning to believe that middle school reform is "not going away and that there's merit to it." They want to be on the bandwagon, she says, and are sharing their enthusiasm with their colleagues.

Over the last year, the planning teams, both at the district and school level, have helped revitalize relationships and have enabled educators to examine weaknesses in middle schools. Discussions have served as a platform for the development of a comprehensive plan for systemic school reform in Chattanooga and a vision that believes in the potential of all students and in the district's middle school teachers. New standards defining what students are expected to know, and to be able to do, were developed by the central planning committee and adopted by middle school educators throughout the district.

In 1993, Chattanooga, Jackson, and Long Beach were awarded continuation grants enabling the districts to implement initiatives based on the goals they set for raising the academic performance of all students. While the work ahead will be hard, these three cities are starting out with renewed optimism and a sense that they can meet the challenge of middle school reform.

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ACADEMY FOR EDUCATIONAL DEVELOPMENT, INC. $239,757
Washington, D.C.
To create a partnership of five urban school systems committed to a more challenging education for disadvantaged youth in the middle grades.

ACADEMY FOR EDUCATIONAL DEVELOPMENT, INC. 65,000 65,000
Washington, D.C.
To organize a seminar series on middle school reform for national educational associations.

ADVOCATES FOR CHILDREN AND YOUTH, INC. 108,011
Baltimore, Maryland
To advance middle school reform in the Baltimore City Public Schools.

THE ALGEBRA PROJECT, INC. 90,000
Boston, Massachusetts
To support Louisville, Milwaukee, and Oakland mathematics teachers using the Algebra Project curriculum.

AMERICAN ASSOCIATION FOR HIGHER EDUCATION 50,000 25,000
Washington, D.C.
To organize public education and dissemination activities for the Commission on Chapter 1.

THE UNIVERSITY OF ARIZONA 79,915
Tucson, Arizona
For the Higher Order Thinking Skills Project to provide challenging curricula to disadvantaged youth in the middle grades.

THE ASSOCIATION OF JUNIOR LEAGUES INTERNATIONAL, INC. 74,715
New York, New York
To advance middle school reform in eight cities.

BALTIMORE CITY PUBLIC SCHOOLS 150,000
Baltimore, Maryland
To develop middle schools characterized by high expectations, high content, and high support.

BALTIMORE CITY PUBLIC SCHOOLS 210,000
Baltimore, Maryland
To continue middle school reform to enhance student achievement.

CHATTANOOGA PUBLIC SCHOOLS 125,000
Chattanooga, Tennessee
To develop a vision, strategy, plan, and timetable for middle school reform.

CHATTANOOGA PUBLIC SCHOOLS $400,000
Chattanooga, Tennessee
To advance system-wide middle school reform.

CHILDREN'S EXPRESS FOUNDATION, INC. 63,933
Washington, D.C.
To conduct an in-school journalism project in five Foundation-assisted middle schools in Louisville and San Diego.

COMMUNITY RELATIONS SOCIAL DEVELOPMENT COMMISSION 38,000
Milwaukee, Wisconsin
To organize community service programs in two Milwaukee middle schools.

COUNCIL FOR BASIC EDUCATION 100,722
Washington, D.C.
To implement "Writing to Learn" in seven Foundation-supported middle schools in Louisville, Milwaukee, and San Diego.

COUNCIL OF CHIEF STATE SCHOOL OFFICERS 27,000
Washington, D.C.
To review the achievement of bilingual students at Horace Mann Middle School in San Diego.

EDUCATION MATTERS, INC. 220,000 30,000
Cambridge, Massachusetts
To analyze and assess Foundation-assisted middle school reforms in Baltimore, Louisville, Milwaukee, and San Diego.

EDUCATION MATTERS, INC. 55,000
Cambridge, Massachusetts
To evaluate the use of Foundation support to plan for middle school reform in Chattanooga, Jackson, and Long Beach.

EDUCATION RESOURCES GROUP 273,000
New York, New York
For evaluation and documentation of middle grades reform initiatives in Baltimore, Louisville, Milwaukee, Oakland, and San Diego.

EDUCATION RESOURCES GROUP 455,000 53,000
New York, New York
To continue its evaluation of Foundation-assisted middle grades reform in Baltimore, Louisville, Milwaukee, Oakland, and San Diego.

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EDUCATION WRITERS ASSOCIATION $112,444
Washington, D.C.
To copublish High Strides *with the National Middle School Association.*

EFFECTIVE PARENTING INFORMATION FOR CHILDREN, INC. 66,000
Buffalo, New York
To expand a skill-building curriculum and parent education program in three Louisville middle schools.

FUND FOR EDUCATIONAL EXCELLENCE, INC. 79,500
Baltimore, Maryland
To develop high-content homework activities for students at two Baltimore schools.

FUND FOR EDUCATIONAL EXCELLENCE, INC. 28,000 28,000
Baltimore, Maryland
To establish a community collaborative for advancing middle school reform in Baltimore.

THE GREAT BOOKS FOUNDATION 37,967
Chicago, Illinois
To introduce an intensive reading program in five urban middle schools.

THE GREATER MILWAUKEE EDUCATION TRUST, INC. 75,000
Milwaukee, Wisconsin
To promote parent involvement in two Milwaukee middle schools.

THE GREATER MILWAUKEE EDUCATION TRUST, INC. 150,000 20,000
Milwaukee, Wisconsin
To expand parent involvement in two Foundation-assisted middle schools and four other schools in Milwaukee.

THE INSTITUTE FOR EDUCATIONAL LEADERSHIP, INC. 191,000
Washington, D.C.
To develop principal leadership in Foundation-assisted middle schools.

INTERFACE INSTITUTE 75,000
Oakland, California
To support the Science Enrichment Collaborative serving students in three Foundation-assisted schools in Oakland.

JACKSON PUBLIC SCHOOL DISTRICT $125,000
Jackson, Mississippi
To develop a vision, strategy, plan, and timetable for middle school reform.

JEFFERSON COUNTY PUBLIC SCHOOLS 200,000
Louisville, Kentucky
To develop middle schools characterized by high expectations, high content, and high support.

JEFFERSON COUNTY PUBLIC SCHOOLS 600,000
Louisville, Kentucky
To continue middle school reform to enhance student achievement.

LONG BEACH UNIFIED SCHOOL DISTRICT 125,000
Long Beach, California
To develop a vision, strategy, plan, and timetable for middle school reform.

LONG BEACH UNIFIED SCHOOL DISTRICT 400,000
Long Beach, California
To advance system-wide middle school reform.

MILWAUKEE PUBLIC SCHOOLS 150,000
Milwaukee, Wisconsin
To develop middle schools characterized by high expectations, high content, and high support.

MILWAUKEE PUBLIC SCHOOLS 200,000
Milwaukee, Wisconsin
To continue middle school reform to enhance student achievement.

NATIONAL FOUNDATION FOR THE IMPROVEMENT OF EDUCATION 49,000
Washington, D.C.
To conduct leadership workshops for principals of 12 middle schools in Baltimore, Louisville, Milwaukee, Oakland, and San Diego.

NATIONAL STAFF DEVELOPMENT COUNCIL 25,200
Dearborn, Michigan
To expand its outreach to urban school systems and middle schools.

NATIONAL STAFF DEVELOPMENT COUNCIL 95,000 95,000
Dearborn, Michigan
To prepare staff development standards for middle school educators.

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UNIVERSITY OF NORTH CAROLINA $737,000 $90,000
Carrboro, North Carolina
To continue technical assistance for Foundation-supported middle school reform in Baltimore, Louisville, Milwaukee, Oakland, and San Diego.

UNIVERSITY OF NORTH CAROLINA 314,847
Chapel Hill, North Carolina
To provide technical assistance for Foundation-supported middle school reform in Baltimore, Louisville, Milwaukee, Oakland, and San Diego.

OAKLAND SCHOOL VOLUNTEERS (6,511)* 14,739
Oakland, California
*To organize teacher study groups in three Oakland junior high schools. *Rescinded*

OAKLAND UNIFIED SCHOOL DISTRICT 150,000
Oakland, California
To develop middle schools characterized by high expectations, high content, and high support.

OAKLAND UNIFIED SCHOOL DISTRICT 123,000
Oakland, California
To continue middle school reform to enhance student achievement.

RESEARCH FOUNDATION OF THE CITY UNIVERSITY OF NEW YORK (11,448)*
New York, New York
*To assist the school districts of Louisville, Milwaukee, and San Diego in establishing community service programs. *Rescinded*

SAN DIEGO STATE UNIVERSITY FOUNDATION 93,236
San Diego, California
For the June Burnett Institute to coordinate a coalition of community organizations to strengthen parent involvement in two Foundation-assisted schools.

SAN DIEGO STATE UNIVERSITY FOUNDATION 150,000 20,000
San Diego, California
For the June Burnett Institute to continue coordination of a coalition of community organizations in strengthening parent involvement in two Foundation-assisted schools.

SAN DIEGO UNIFIED SCHOOL DISTRICT 210,000
San Diego, California
To develop middle schools characterized by high expectations, high content, and high support.

SAN DIEGO UNIFIED SCHOOL DISTRICT $500,000 $80,000
San Diego, California
To continue middle school reform to enhance student achievement.

SOUTHERN REGIONAL COUNCIL 26,000
Atlanta, Georgia
To organize a meeting of Foundation grantees engaged in middle school reform.

SOUTHERN REGIONAL COUNCIL 15,000 15,000
Atlanta, Georgia
To assist middle school teachers in Jackson, Mississippi to attend a national conference.

SOUTHERN REGIONAL COUNCIL 70,000 70,000
Atlanta, Georgia
For a professional meeting of educators advancing middle school reform.

SOUTHERN REGIONAL COUNCIL 70,000
Atlanta, Georgia
To study the status of middle school reform in urban school systems.

BOARD OF TRUSTEES OF THE LELAND STANFORD JUNIOR UNIVERSITY 75,000
Stanford, California
To develop accelerated middle schools for disadvantaged youth.

BOARD OF TRUSTEES OF THE LELAND STANFORD JUNIOR UNIVERSITY 60,000 60,000
Stanford, California
To develop satellite training centers for accelerated middle schools.

BOARD OF TRUSTEES OF THE LELAND STANFORD JUNIOR UNIVERSITY 400,000 56,014
Stanford, California
To develop and pilot an evaluation of accelerated middle schools.

URBAN STRATEGIES COUNCIL 98,000
Oakland, California
To generate community support for middle school reform in Oakland.

TOTAL PROGRAM $5,296,041 $4,109,000

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Program for Homeless Families

Nearly half of the 5,800 families living in emergency shelters in New York City will move to permanent housing in the South Bronx and Central Harlem, communities that often lack the social and economic supports necessary to ensure that formerly homeless families remain permanently housed. The Program for Homeless Families seeks to strengthen families through community-building efforts that help prevent repeat homelessness. The Program emphasizes support for projects that give a voice to those most affected by poverty; create and sustain affordable housing; improve neighborhood conditions; and foster economic opportunities.

Building a Community of Leaders

Despite a chilly fall evening, things were heating up inside the packed auditorium of a South Bronx elementary school. Close to 500 parents and children had gathered to confront officials from District 8 about the problems facing troubled schools in the Hunts Point area, where low test scores and overcrowded classrooms mark the failure of a school system.

One by one, parents stood in front of a microphone and filled the room with grim accounts of what their children find at school each day. They asked why broken windows went unreplaced, why crumbling ceilings were left falling. They worried aloud about sick children with no school nurse to care for them, about the chaos of overcrowded classrooms, and about security lapses that make schools unsafe.

The mothers, fathers, and other concerned care-

takers who spoke up that evening were not seasoned activists. They were parents who had worried silently that their children weren't learning. The few parents who had met with school officials in the past felt their concerns weren't taken seriously. But this night was different. For the first time, the district superintendent and school board president, prompted by organized community pressure, stepped out of their offices and onto the parents' turf. "It was their turn to listen," explains parent organizer April O'Toole.

The District 8 "Speak Out" was spearheaded by Mothers on the Move, a parent-led organization on the edge of the South Bronx that has become a catalyst for school improvement. The Foundation, through its Program for Homeless Families, supports Mothers on the Move and similar efforts that seek to develop the leadership capacity of residents around projects to strengthen neighborhoods in the South Bronx and Central Harlem. Since the mid-1980s, these two areas have been the target of a large-scale housing rehabilitation effort that has brought an influx of new residents, many of them formerly homeless families. Local initiatives such as Mothers on the Move can help give a voice to residents, new and old, who are most affected by neighborhood problems.

Community support is an important component of the Program's broader strategy to help strengthen neighborhoods, integrate resettled families into their new communities, and prevent repeat homelessness. The Program supports efforts that break through the isolation that families often feel as

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April O'Toole (right) invites parents to attend a district meeting. Close to 500 parents and children showed up.

newcomers, giving them a stake in their schools and communities.

PARENTS GET ORGANIZED

District 8 encompasses a large, meandering area that extends from the more affluent Throgs Neck and Pelham Bay areas in the north to the poorer Hunts Point section of the South Bronx. The southern tier of District 8 is fertile ground for people-powered renewal. While the city made a massive investment in housing in the area over the last several years, few resources were targeted to the neighborhood's public schools. The six schools at the south end of the district are among the most crowded and least effective in the city. Reading scores are among the lowest in the system. Half of the students attending these public schools have been homeless. Inside, classrooms have gone unpainted for years, bathroom stalls are without doors, water fountains are dry. Gaping holes in the floor give rodents free access to some classrooms. Textbook shortages keep children from taking schoolwork home at night. Staff turnover among teachers and senior administrators is high.

Parents argue that school board officials neglect these schools. "If you go to the other side of District 8 in Throgs Neck, you'll see a very different thing," reports Migdalia Negron, a school volunteer for the last 12 years. "Kids in this part of the district were being abandoned by the school system." Parents say they have been treated like outsiders by school administrators. "When I asked questions, the subject was changed," recalls Lissette Pagan, a mother of four.

Organizers in the South Bronx believe that parents are stigmatized by the school system because of where they live, their poverty, their difficulties with English, or their lack of education. School officials who fear losing control intentionally keep parents in the dark, Negron charges. "It's convenient for the district to keep them ignorant," she adds. Community organizer Barbara Gross, co-coordinator of Mothers on the Move, agrees. She claims that there is a lack of respect for parent organizing and that school officials respond to parents' demands only when it is in their interest to do so.

Mothers on the Move was started in 1992 to shed light on the problems in District 8 and tap the interest of parents in their children's education. The organization grew out of a parent involvement and education project based at Bronx Education Services, a nonprofit organization serving the Hunts Point community and a Foundation grantee. Moms on

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Parent leaders attended weekly training classes. They familiarized themselves with community resources and learned how to confront school leaders on behalf of their children.

the Move, the shortened title, involves more than 600 parents and includes homeless families, relocated families, and residents who have lived in the community for years.

Initially, many parents don't feel comfortable about getting involved, so Moms on the Move uses a personal approach. Volunteers go door-to-door to recruit new members; they hand out fliers in front of the schools to spread the word about upcoming meetings. In 1993, 20 parent leaders attended weekly training classes in parent empowerment and active citizenship. They studied the configuration of the district, familiarized themselves with community resources, and learned how to confront school leaders on behalf of their children. To supplement the workshops, Bronx Education Services published a manual on parent leadership and organizing techniques.

For Carolyn Pelzer, the training helped invigorate her efforts to improve her children's middle school, I.S. 52. The sessions, she says, "gave me a lot of insight into the Board of Education and things that go on inside the school and helped me know the steps for dealing with the school." Pelzer decided to get more involved in I.S. 52 and ran successfully for president of the school's parents' association in 1993.

New leadership skills and renewed confidence helped parents conduct a successful voter registration drive. More than 500 new voters registered for the school board elections in 1993. Workshops on the election process were woven into adult education classes at local community centers. Surveys were sent to school board candidates and parents interviewed office seekers to find out who they were and why they were running.

After learning that parents could run for the school board—"Nobody ever told them they could," according to April O'Toole—one mother decided to run herself. Though victory was elusive, O'Toole predicts her example, along with the confidence and experience parents are gaining by working with the school system, will encourage others to sign on as candidates in the future. Other members are joining Carolyn Pelzer at I.S. 52 as leaders in their parents' associations, achieving a status that is recognized and taken seriously by school officials. The challenge for these parent leaders, as Barbara Gross points out, is to avoid becoming "messengers" for the school board and following the agenda it sets. Leadership training sponsored by Moms on the Move emphasizes that the role of parent leaders is to be the parents' voice before the school board.

Hard work and persistence have paid off in nonelectoral ways in District 8. The broken windows at P.S. 62 were replaced, and classrooms were painted for the first time in ten years. Other badly needed repairs were completed, and a playground is under construction. Parents whose children attend I.S. 52, which recently split into two schools within the same building, have called on the district superintendent to form a planning committee made up of administrators, teachers, and parents to shape a vision and long-term plan for the school. Though the committee is not yet off the ground, I.S. 52's

parents' association has taken an active role in keeping parents in touch with changes taking place at the school. In the past, says Pelzer, parents have been overlooked. "We want to change that and make them feel more involved and encourage them to sit in on various committees and become more active. We don't want parents to be the last ones to know about what's happening in the school."

Although parent organizers at I.S. 52 and elsewhere in the district say they are viewed as troublemakers by school officials, they fight on. Moms on the Move is recruiting new members and finding that parents who had given up on ever getting anywhere with the school system are beginning to see things differently. According to Carolyn Pelzer, parents realize that "if enough pressure is put on the schools, they have to respond."

COMMUNITY ACTIVISM BEGINS AT THE KITCHEN TABLE

Parents united behind the cause of school improvement are a force for change in New York City. Another source of community leadership has come from low-income tenants who have gone through the process of purchasing city-owned buildings. These urban pioneers first organized to claim rundown buildings that had been taken over by the city from neglectful landlords. Seven hundred buildings are the focus of a city program that trains tenants to become building managers and eventual co-op owners. These tenant owners, who occupy some 26,000 apartments around New York, are now using the leadership skills they learned "at the kitchen table" to respond to the broader needs of their community.

Groups called Neighborhood Networks, consisting of the residents of 10 to 20 buildings in walking distance of each other, have been organized in the South Bronx, Central Harlem, West Harlem and Crown Heights in Brooklyn. Supported by a Foundation grant, Neighborhood Networks were launched in 1991 by the Urban Homesteaders Assistance Board (UHAB), a private organization that has assisted low-income residents in New York City since 1974. UHAB provides technical assistance and support needed to mobilize groups of co-op owners to organize and work together on issues affecting individual neighborhoods and the wider community. The groups meet regularly in each neighborhood to plan activities that might focus on building improvements, crime prevention, or community job development.

Concern about the future of their homes and communities motivates tenants to get involved with Neighborhood Networks. "They can see the results of their hard work beginning to dwindle away because of drugs and crime," explains Andrew Reicher, executive director of UHAB and currently the supervisor of the Neighborhood Networks project. "They know that they have the capacity and desire to do something more. They want to preserve what they've accomplished."

Jacqueline Vega, 23, lives with her mother in a cooperatively owned building on Crotona Parkway in the Bronx. As president of her tenants' association, Vega represents her building in the East Tremont Neighborhood Network. The network compiled a list of local contractors so that tenants can support small business owners in the commu-

"When it's one building and 17 tenants working together, it's good. But when it's 20 buildings, and each of them has 17 tenants, it's a bigger group that's there for you."

nity. Vega likes the idea of pooling contacts, know-how, and other resources to get things done. "When it's one building and 17 tenants working together, it's good," she says. "But when it's 20 buildings, and each of them has 17 tenants, it's a bigger group that's there for you."

Participation in the East Tremont Network tripled over the summer of 1993, and the group is in the process of establishing a governance structure and locating office space for regular meetings. Members want a presence in the neighborhood.

Other Neighborhood Networks are turning vacant lots into community gardens, expanding day care programs, and increasing resources for local schools. In a community improvement project, residents involved in the Central Harlem Network are raising funds to purchase window awnings to help beautify their buildings. Network members in the Highbridge area of the South Bronx hosted a conference to inform residents of a citywide campaign to lower tax rates and keep housing affordable.

Neighborhood Networks also link members to other community initiatives. In Central Harlem, Network members volunteered to lend a hand on Saturdays at the Young Achievers Reading Club, a project that encourages youngsters between 7 and 17 years old to develop a love of reading. The club, which meets at the Clara Mohammed School on 116th Street and Lenox Avenue, is supported by a $2,500 challenge grant made by UHAB with money from the Foundation. "Most of the people who support the club have lived in the community for years and want to continue to live here," Yasmine Woods, founder of the club, explains. "They are very clear that what happens to our kids is going to make an incredible impact on what our community looks like in the next ten years."

Parents and tenants who have a stake in their community, whether in their children's education or the home they have fought to own, are the lifeblood of a healthy community. They have the ability to keep good neighborhoods intact and fight to resolve the problems that remain. By organizing, by uniting to build on individual strengths, they have become a force for renewal in scores of neighborhoods and in the city they call home.

Through the grants it makes to projects like Mothers on the Move and Neighborhood Networks, the Foundation hopes to infuse communities with new sources of leadership capable of stabilizing and improving neighborhoods. In the South Bronx and Central Harlem and in other neighborhoods around New York City, families who make an investment in their schools, their buildings, and their neighborhoods are strengthening the social fabric of those communities while helping to secure their own future within them.

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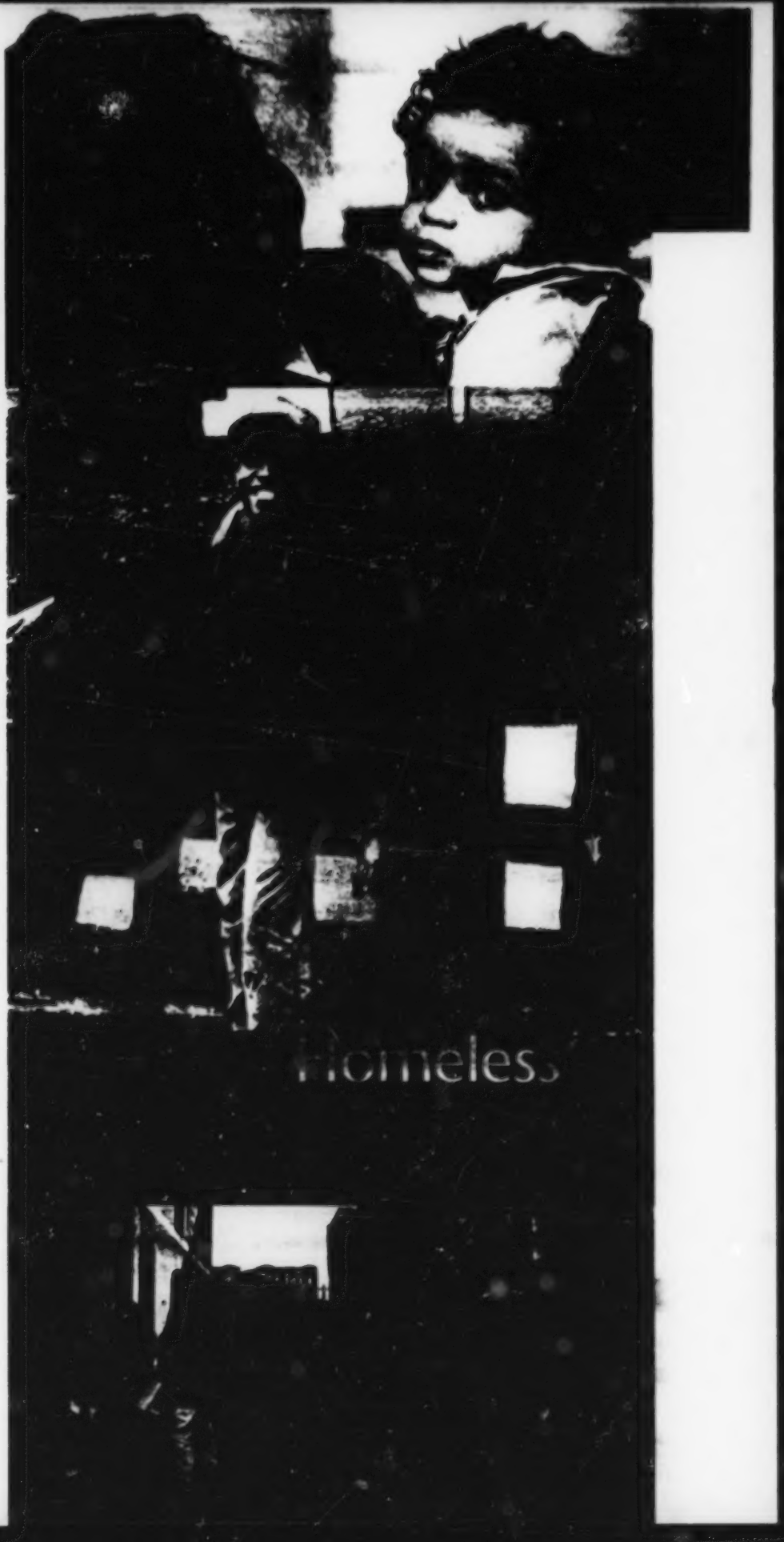

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ABYSSINIAN DEVELOPMENT CORPORATION $6,355
New York, New York
For community organization and family services in Central Harlem.

ADVOCATES FOR CHILDREN OF NEW YORK, INC. 8,125
Long Island City, New York
To ensure that the educational needs of formerly homeless children are addressed by their new schools.

ASSOCIATION FOR NEIGHBORHOOD AND HOUSING DEVELOPMENT, INC. 75,000 75,000
New York, New York
To assist housing organizations in developing management and social service plans that integrate the formerly homeless.

BANANA KELLY COMMUNITY IMPROVEMENT ASSOCIATION 21,900
Bronx, New York
To support the Work Prep Program for formerly homeless families and other community residents in the South Bronx.

BANK STREET COLLEGE OF EDUCATION 123,000
New York, New York
To coordinate Foundation-funded family support programs.

BANK STREET COLLEGE OF EDUCATION 32,125
New York, New York
To continue coordination of Foundation-funded family support programs and to assess steps for building future capacity for such programs in New York City.

BOYS HARBOR, INC. 20,500
New York, New York
To establish the Family of Educators Program, a settlement house service in Central Harlem.

BRONX EDUCATIONAL SERVICES, INC. 33,400
Bronx, New York
To support parent involvement in School District 8 in the South Bronx.

BRONX EDUCATIONAL SERVICES, INC. 80,000 60,000
Bronx, New York
To continue support for parent involvement in School District 8 in the South Bronx.

CHILD WELFARE LEAGUE OF AMERICA, INC. $56,250
Washington, D.C.
For technical assistance to states to foster successful implementation of the Family Unification Program.

CHURCH AVENUE MERCHANTS BLOCK ASSOCIATION, INC. 30,000
Brooklyn, New York
To support CAMBA's family literacy program.

CHURCH AVENUE MERCHANTS BLOCK ASSOCIATION, INC. 52,000 52,000
Brooklyn, New York
To continue CAMBA's family literacy program and to develop a job training initiative.

CITIZENS ADVICE BUREAU, INC. 25,000
Bronx, New York
To support a neighborhood assistance center, to staff a coalition of agencies organized to improve services to relocated families, and to plan a settlement house in the South Bronx.

CITIZENS ADVICE BUREAU, INC. 150,000 111,494
Bronx, New York
To continue support for a neighborhood assistance center, to staff a coalition of agencies organized to improve services to relocated families, and to plan a settlement house in the South Bronx.

CITIZENS' COMMITTEE FOR CHILDREN OF NEW YORK 15,000
New York, New York
To support its advocacy work on behalf of formerly homeless families.

CITIZENS' COMMITTEE FOR CHILDREN OF NEW YORK 50,000
New York, New York
To advocate for permanent housing for homeless families in New York City through the Family Homelessness Project.

CITY LIMITS COMMUNITY INFORMATION SERVICE, INC. 16,250
New York, New York
For the publication of City Limits, *an urban affairs news magazine that reports on the resettlement of formerly homeless families and neighborhood revitalization.*

FUND FOR THE CITY OF NEW YORK (33,800)*
New York, New York
*To study the feasibility of replicating a model for public-private sector collaboration in response to homelessness in New York City. *Rescinded.*

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FUND FOR NEW YORK CITY PUBLIC EDUCATION, INC. $133,150
New York, New York
To support the Athena Project, a family support center in the South Bronx.

FUND FOR NEW YORK CITY PUBLIC EDUCATION, INC. 125,000
New York, New York
To continue support for the Athena Project.

GRAHAM-WINDHAM 55,500
New York, New York
To support Project Welcome Home, a family support program in Central Harlem.

GRAHAM-WINDHAM 106,000 27,000
New York, New York
To continue support for Project Welcome Home.

HARLEM DOWLING-WESTSIDE CENTER FOR CHILDREN AND FAMILY SERVICES 111,600
New York, New York
For its intensive case management program for formerly homeless families in Central Harlem.

HARLEM DOWLING-WESTSIDE CENTER FOR CHILDREN AND FAMILY SERVICES 74,400 24,000
New York, New York
To continue its intensive case management program for formerly homeless families in Central Harlem.

HARLEM HUMAN SERVICES COUNCIL 65,000 65,000
New York, New York
To coordinate services on behalf of formerly homeless families in Central Harlem.

HENRY STREET SETTLEMENT 95,650
New York, New York
For its intensive case management program for formerly homeless families on the Lower East Side.

HENRY STREET SETTLEMENT 65,000 30,000
New York, New York
To continue its intensive case management program for formerly homeless families on the Lower East Side.

HIGHBRIDGE COMMUNITY LIFE CENTER, INC. $122,000 $30,000
Bronx, New York
For a family support program for formerly homeless families in the South Bronx.

HIGHBRIDGE COMMUNITY LIFE CENTER, INC. 96,650
Bronx, New York
To continue a family support program for formerly homeless families in the South Bronx.

HOUSING AND SERVICES, INC. 61,150
New York, New York
To develop a health outreach program at the Highbridge-Woodycrest Center, a residential AIDS program in the South Bronx.

THE LEGAL AID SOCIETY 54,000
New York, New York
To support the Relocation Advocacy Project and the litigation efforts of the Homeless Families Rights Project.

THE LEGAL AID SOCIETY 201,000 150,750
New York, New York
To continue support for the Relocation Advocacy Project and for the litigation efforts of the Homeless Families Rights Project.

NATIONAL HOUSING AND COMMUNITY DEVELOPMENT LAW PROJECT 50,000 40,971
Washington, D.C.
To support the Legal Services Homelessness Task Force.

NEW YORK STATE TENANT AND NEIGHBORHOOD INFORMATION SERVICE 70,000
New York, New York
To organize and train low-income tenants in federally subsidized housing to understand and exercise their rights to protection against housing displacement.

NEW YORK UNIVERSITY 88,000
New York, New York
To conduct an assessment of intensive case management programs for formerly homeless families.

NEW YORK UNIVERSITY 18,600 18,600
New York, New York
To complete an assessment of intensive case management programs for formerly homeless families.

PIUS XII SCHOOL 15,000
Bronx, New York
To support its family services and job training program.

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PLANNED PARENTHOOD OF NEW YORK CITY, INC. $37,500
New York, New York
For outreach, education, and family planning services for formerly homeless families in the South Bronx.

RESEARCH FOUNDATION OF THE CITY UNIVERSITY OF NEW YORK 144,650
New York, New York
To coordinate the Foundation-funded intensive case management programs.

RESEARCH FOUNDATION OF THE CITY UNIVERSITY OF NEW YORK 77,000
New York, New York
For staff training and consultation of publicly funded intensive case management programs.

RESEARCH FOUNDATION OF THE CITY UNIVERSITY OF NEW YORK 162,800
New York, New York
To provide technical assistance to the New York City Department of Homeless Services as they begin implementation of intensive case management services to relocated families.

RESEARCH FOUNDATION OF THE STATE UNIVERSITY OF NEW YORK 13,900
Albany, New York
To review and assess New York State Department of Social Services' Homeless Rehousing Assistance Program.

RHEEDLEN FOUNDATION, INC. 157,500
New York, New York
For its intensive case management program for formerly homeless families in Central Harlem.

RHEEDLEN FOUNDATION, INC. 105,000 50,000
New York, New York
To continue its intensive case management program for formerly homeless families in Central Harlem.

SURDNA FOUNDATION, INC. 100,000 100,000
New York, New York
To support the Comprehensive Community Revitalization Program in the South Bronx.

TAPCAPP, INC. 56,000
Bronx, New York
To support its Parent Education Program in the South Bronx.

UNITED HOSPITAL FUND OF NEW YORK $125,000
New York, New York
To expand primary health care in the South Bronx and Central Harlem.

URBAN HOMESTEADING ASSISTANCE BOARD, INC. 69,375
New York, New York
To expand and formalize the Neighborhood Network Project.

VNS-HOME CARE (VISITING NURSE SERVICE) 166,800
New York, New York
To support an intensive case management program for formerly homeless families in the South Bronx.

VNS-HOME CARE (VISITING NURSE SERVICE) 115,000 57,511
New York, New York
To continue its intensive case management program for formerly homeless families in the South Bronx.

WOMEN'S HOUSING AND ECONOMIC DEVELOPMENT CORPORATION 30,000
New York, New York
To design and implement a program integrating housing and services for formerly homeless families.

LESS REFUNDS	**($381)**	**($381)**
TOTAL PROGRAM	**$1,845,894**	**$2,775,000**

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Program for Justice

With more than one million people in its prisons and jails, the United States now spends an estimated $25 billion a year on construction of facilities and management of inmates. In the context of this growing social and fiscal problem, the Justice Program seeks to develop an effective, humane, and economical system of criminal sanctions for offenders. Working with selected states—currently Alabama, Delaware, and Pennsylvania—the Foundation helps officials develop sentencing and corrections policies that promote a range of sanctions between simple probation and incarceration. The Justice Program also supports litigation and other means of establishing constitutional conditions in prisons, jails, and juvenile institutions.

Left, Judge Inga Johnson of Florence, Alabama is an advocate for community corrections in her district.

Judges Take a Fresh Look at Sentencing

The decision before a Pennsylvania judge was not an easy one.

Driving fast on a wet road at night, a 30-year-old accountant had careened into the rear of a car stopped at a traffic light. The driver of the waiting car, a mother of two children, was killed, and her passenger was critically injured. The defendant suffered only minor injuries.

Though he had been drinking that evening and had a history of speeding violations, the defendant had no prior criminal record. A single father, he supported a chronically ill daughter. The jury convicted him of vehicular homicide and aggravated assault. The judge had to hand down the sentence.

The case, an actual one, resurfaced recently before a group of Pennsylvania judges participating in a Foundation-sponsored workshop on sentencing at Yale Law School. In a seminar exercise, the judges had to sentence the offender and justify their decisions.

One judge felt jail time was unnecessary and imposed probation. Although imprisonment for up to five years was within the state's sentencing guidelines for such a case, this judge argued that the suffering caused by the offender was unintentional and that sending him to jail would be disastrous for his sick daughter.

A second judge thought the offender showed poor judgment by speeding on a rainy night and gave him a six-month jail sentence with work release, allowing him to maintain his job, provide for his daughter, and pay restitution to the victim's family.

A third judge sentenced the offender to three years in prison, pointing out that the hardship the incarceration would cause his own family was not as tragic as the loss of his victim's life.

A fourth judge imposed a five-year prison term. Citing the offender's history of speeding violations, the judge felt that a stiff sentence would serve as a deterrent.

One case, four judges, and a range of sentences that appear to be based on the weight assigned to different concerns: the welfare of the offender's sick child, the loss of the victim, the need for a deterrent. The exercise illuminates a major predicament in meting out punishment to offenders—how to be

> "Sentencing is probably the most complex and important area of our entire justice system. It demands serious reflection."

fair and equitable, fitting the sanction to the crime. This case study generated a rich discussion around the table about the vast disparity in sentencing practices and raises a number of important questions: Does the seemingly unfettered judicial discretion exhibited here support the need for more mandatory sentencing laws or rigid guidelines? What about the dissatisfaction with federal mandatory sentencing laws that has prompted some judges to refuse to handle cases that precluded them from dispensing a suitable and fair punishment? What about the public's desire for predictability and certainty in punishment? And the offender's need for treatment?

Recognizing the importance of judges in developing and implementing wise sentencing policies, the Foundation, through the Justice Program, has supported judicial training workshops since 1988. The seminars play a key part in the Justice Program's state-centered initiative, which works with state officials to improve prison conditions, create informed sentencing policies, and develop a range of community sanctions between probation and incarceration.

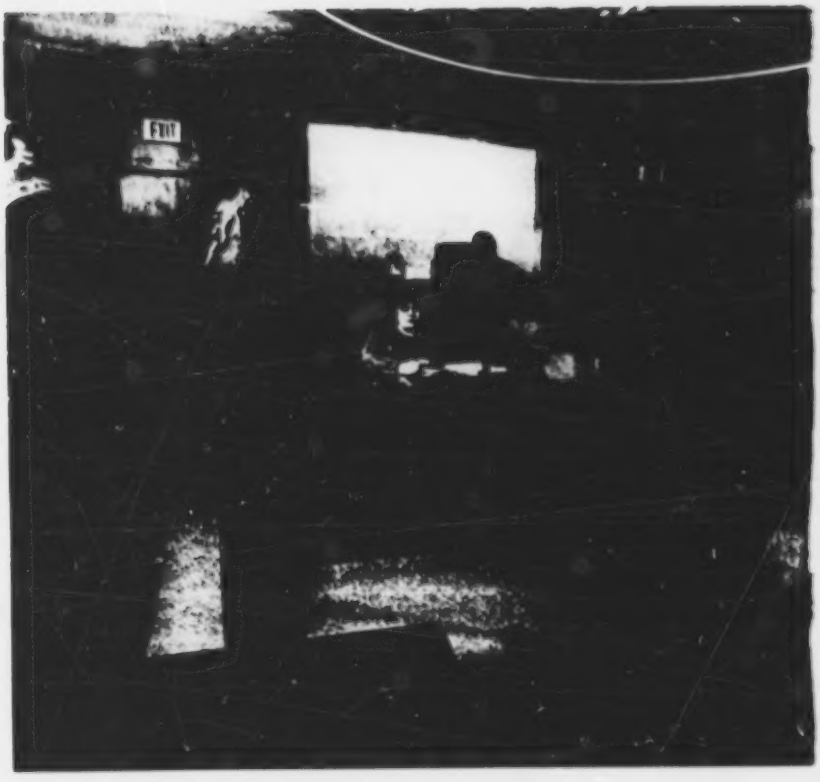
Traditionally, judges are given little training to prepare for sentencing. "You don't get it in law school; you just get it on the job," notes Judge Randall Cole of Alabama. The Foundation-supported training aims to fill that void by helping judges utilize the range of sentencing options between probation and prison, and advocate for sound sentencing policies. The training also gives judges, who are often isolated from each other, an opportunity to discuss their sentencing practices.

By utilizing alternatives to incarceration for certain offenders, judges can help move the corrections system away from an overreliance on jails and prisons.

Now held at the law schools of Yale, the University of Minnesota, and St. Louis University, the workshops encourage judges to take an active role in moving the corrections system away from its overreliance on incarceration for nonviolent offenders. Since 1988, more than 50 judges from Alabama, Delaware, Pennsylvania, and Missouri have met to reexamine their personal sentencing philosophies, patterns, and practices. In addition to involving state trial judges, the sentencing seminars bring together law school faculty with students, prosecutors, corrections commissioners, criminologists, and other corrections professionals who add their own perspectives on the field and challenge traditional views about sentencing.

Away from the pressures of their courtrooms and daily routine, the judges have time for both reflection and debate. The programs take a participatory, experiential approach. Materials used for each of the workshops include actual cases that the judges themselves submit—cases they found hard to decide. Participants must give a hypothetical sentence for each of the cases and then defend their decisions.

"Each workshop examines the cases in all of their detail, in length and depth, and allows all of the participants to examine each other's sentences," explains Robert Levy, a law professor at the University



In Delaware, an offender commits to participating in drug treatment as part of his sentence.

of Minnesota and coordinator of its judicial workshops. Traditional sentencing practices are disputed; old assumptions about which sentences are reasonable, what works, and how much sentences actually cost, are challenged. One judge compared the awakening to "somebody taking a pail of ice water and throwing it on your face." Deeply held assumptions many judges carry—for example—that sentencing is an either/or decision—are broken down. "Judges fall into patterns," Levy explains. "What they do is painful, and they have to do a lot of it. We give them a chance to think about what they are up to; and we let them know that for every case there are alternatives to what each judge has done."

Alternatives, or "intermediate sanctions" as they are often called, are appropriate for nonviolent offenders who do not pose a danger to the community. Such offenders can serve all or part of their sentence in the community where they can be closely supervised while attending school, taking part in drug or alcohol treatment, or working to pay back their victim and support their own families. Intermediate sanctions can take the form of day reporting centers that provide offenders with intensive supervision while they continue to live and work in the community; community service programs that match offenders with public works projects; house arrest; or work-release programs.

These programs are gaining currency around the country, as state and local governments look for safe, cost-efficient alternatives to building more jails and prisons. In order for such programs to succeed, however, judges must be willing to weave them into the sentences they impose, and state statutes must permit their use.

The seminars introduce judges to colleagues who work in jurisdictions similar to their own and who apply a broad range of community-based sanctions for nonviolent offenders. Meeting for three weekends during the course of a semester, participants gain an understanding of community corrections and usually leave ready to use and support the development of such sanctions in their courtrooms for certain offenders. One judge, commenting on the

Commenting on the sentencing workshops, one judge said, "I went in as Archie Bunker. I thought prison was the only option. Now I'm searching for alternatives."

workshop, said, "I went in as Archie Bunker. I thought prison was the only option. Now I'm searching for alternatives. I strive to incorporate a treatment or intermediate sanctions approach into every case."

During the final weekend seminar, participants work on cases in which sentences have not yet been rendered. When considering sanctions for this group of offenders, the judges review sentence plans proposed by experts from the National Center on Institutions and Alternatives and The Sentencing Project, Foundation grantees. Called "client-specific plans," these recommended sentences consider the circumstances of the crime, the offender's education, employment and family history, prior criminal history, and other factors. The plan includes a proposed sentence, usually a nonprison alternative, and the rationale for the sentence. The judge then accepts all, part, or none of the plan. Once judges have considered a case in light of such a thorough analysis, they are often more willing to consider alternatives to prison. "I'd rather formulate a productive sentence, even for a shorter period of time, than a nonproductive sentence for a longer period of time," explains Judge Cole, who says the sentencing seminars have had a "lasting effect" on his sentencing practices.

TAKING A CHANCE WITH COMMUNITY CORRECTIONS

Judge Samuel Monk of Alabama was among the seminar participants at Yale already eager to use intermediate sanctions in their courtrooms. The seminars, he says, only confirmed what he already knew: community corrections not only address the gap that exists between probation and prison; they also address the problem of overcrowding. There are offenders, he says, "who are going underpunished" because there is not enough prison space. At the same time, there are people "who are overpunished simply because they can't be on probation, but they don't need to be imprisoned. That's not a concept of American justice."

After attending the sentencing workshops in 1990, Judge Monk resolved to change the way his county handles nonviolent offenders. He helped start a new community corrections program for Calhoun County, a rural area of about 130,000 people. The program, which has received initial funding from the Alabama Department of Corrections and the Foundation, was designed under the state's community corrections act and will provide intensive supervision for offenders who would otherwise have served time in the state penitentiary. Monk says that there will probably be space available in the program for misdemeanants who will "end up being punished a little more severely than they are on probation." He anticipates that misdemeanants will receive more supervision and will have more structured sentences that might include drug or alcohol treatment or education, counseling, or community service.

SLOW PROGRESS

Much of Judge Monk's work on the community corrections initiative centers on advocacy and building community support for the project. Over the last decade, public concern about crime has led legislatures to take a tough stance on punishing offenders, and many of the seminar judges work in states with mandatory sentencing laws that require prison time for certain offenses, removing the decision to imprison from the judge. However, there is evidence that by imposing meaningful sentences, even some that do not rely on incarceration, the judiciary can satisfy the public's concern that the offender be punished and the community protected.

Surveys conducted by the Public Agenda Foundation in Alabama, Delaware, and Pennsylvania showed that, when informed about sentencing options, the majority of citizens surveyed supported intermediate sanctions for an array of nonviolent offenders. Still, judges frequently confront the attitude that "doing time" is the only legitimate punishment for someone who has committed a serious crime. And since many judges are elected, popular perception of their sentencing practices is important, too. As the public sees it, Judge Myron Steel of Delaware argues, "Every time someone isn't sent to jail or prison, they've received a slap on the wrist. People don't understand how onerous a community sentence can be if it's structured properly."

While a growing number of judges philosophically support the idea of using intermediate sanctions, they can only act if the alternatives are available within their jurisdictions. "As a practical matter, lack of funds to employ supervisory personnel who work in community corrections has been a problem for us," explains Judge Inga Johnson of Alabama, who nonetheless manages to maintain a pilot public works program for state inmates in her jurisdiction.

There are signs that the culture of sentencing is changing in some courtrooms. But political will and resources are needed to make new attitudes and practices part of the sentencing mainstream. Judges who support the use of a broader range of sanctions are looking for allies among policymakers, corrections officials, the media, and the public to ensure that the momentum that has begun to build will continue. Mandatory sentencing laws also need to be examined, and in some cases, amended or revoked.

The judicial sentencing seminars are helping to strengthen the quest for change among judges who care about the impact of their sentences on offenders, victims, and for society in general. As Judge Theodore McKee of Philadelphia sees it, "Sentencing is probably the most complex and important area of our entire justice system. It demands serious reflection." Those who have taken part in judicial training seminars supported by the Foundation are among a cadre of motivated, concerned criminal justice leaders willing to take the first steps toward making the system better.

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STATE-CENTERED REFORM

ALABAMA ASSOCIATION OF COMMUNITY CORRECTIONS, INC. $25,000
Birmingham, Alabama
To establish an association of county-level community corrections providers.

STATE OF ALABAMA DEPARTMENT OF CORRECTIONS (100,000)* 50,000
Montgomery, Alabama
To match state and county funding for the development of community corrections programs in Alabama.
*Rescinded.

STATE OF ALABAMA DEPARTMENT OF CORRECTIONS 452,000
Montgomery, Alabama
To support community corrections programs in eight Alabama counties.

THE BOARD OF TRUSTEES OF THE UNIVERSITY OF ALABAMA AT BIRMINGHAM 70,125
Birmingham, Alabama
To support a sentencing advocacy project that serves felons in Jefferson County, Alabama.

CASTINE RESEARCH CORPORATION 104,150
Castine, Maine
For publication of Overcrowded Times, a newsletter that chronicles the progress of the Foundation's state-centered program in corrections reform.

CORRECTIONS ALTERNATIVES AND CONCEPTS, INC. 118,500
Smyrna, Delaware
To provide technical assistance and develop programs that would reduce unnecessary incarceration in Alabama and Delaware.

CORRECTIONS ALTERNATIVES AND CONCEPTS, INC. 41,400
Smyrna, Delaware
To assist the development of a day reporting center in Wilmington, Delaware.

CRIMINAL JUSTICE COUNCIL 11,650
Wilmington, Delaware
To design and implement a public education campaign in Delaware on sentencing and corrections policy.

CRIMINAL JUSTICE COUNCIL $79,000
Wilmington, Delaware
To assess the needs of drug offenders and draft a plan for expanding state-funded treatment services in Delaware.

CRIMINAL JUSTICE COUNCIL 32,000 20,000
Wilmington, Delaware
For a media and public education campaign in Delaware on sentencing and corrections policy.

CRIMINAL JUSTICE COUNCIL 15,000 15,000
Wilmington, Delaware
For a conference of Delaware policymakers and administrators on effective substance abuse reduction programs.

STATE OF DELAWARE DEPARTMENT OF CORRECTIONS 6,000
Smyrna, Delaware
To improve supervision of paroled inmates.

DELAWARE STATISTICAL ANALYSIS CENTER 92,000
Dover, Delaware
To analyze criminal history information and assess the effectiveness of community sentences for particular offenders.

GARRISON & ARTERTON, P.C. 38,900
New Haven, Connecticut
To support coordination of state-centered reform activities and related projects.

JEFFERSON COUNTY COMMISSION 135,000
Birmingham, Alabama
To expand support for alternatives to incarceration in Jefferson County, Alabama.

THE MAINE COUNCIL OF CHURCHES 96,600
Portland, Maine
To coordinate efforts to reduce unnecessary incarceration in the state of Maine.

REGENTS OF THE UNIVERSITY OF MINNESOTA 15,025
Minneapolis, Minnesota
To develop a judicial education program within the law school.

REGENTS OF THE UNIVERSITY OF MINNESOTA 187,200
Minneapolis, Minnesota
To continue the law school's judicial education program.

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MOBILE COUNTY COMMISSION — **$88,000**
Mobile, Alabama
For the alternative sentencing and offender supervision programs of the Mobile Community Corrections Center.

NATIONAL CENTER FOR CITIZEN PARTICIPATION IN THE ADMINISTRATION OF JUSTICE — **115,000**
Boston, Massachusetts
To initiate public education projects and organize citizen groups to support corrections reform in Alabama, Delaware, and Pennsylvania.

NATIONAL CENTER ON INSTITUTIONS AND ALTERNATIVES, INC. — 80,000 — **62,300**
Alexandria, Virginia
To provide technical assistance to reduce unnecessary incarceration in Alabama and Pennsylvania.

NATIONAL COUNCIL ON CRIME AND DELINQUENCY — 75,000 — **75,000**
San Francisco, California
To improve parole decision-making in Alabama.

NATIONAL COUNCIL ON CRIME AND DELINQUENCY — 27,500 — **27,500**
San Francisco, California
To design a criminal justice information system for the state of Alabama.

PENNSYLVANIA COMMISSION ON SENTENCING — **39,000**
State College, Pennsylvania
To gather and analyze information on the justice system in Pennsylvania.

PENNSYLVANIA COMMISSION ON SENTENCING — 35,000 — **35,000**
State College, Pennsylvania
To provide judicial training for the State Trial Court Judges Association.

PENNSYLVANIA ECONOMY LEAGUE, INC. — **60,000**
Harrisburg, Pennsylvania
To produce a report on the cost of corrections in Pennsylvania.

PENNSYLVANIA STATE ASSOCIATION OF COUNTY COMMISSIONERS — **$51,900**
Harrisburg, Pennsylvania
To support coordination of criminal justice reform activities in Pennsylvania.

PENNSYLVANIA STATE ASSOCIATION OF COUNTY COMMISSIONERS — 35,000 — **35,000**
Harrisburg, Pennsylvania
For a public education strategy on sentencing and corrections policy in Pennsylvania.

PENNSYLVANIA STATE ASSOCIATION OF COUNTY COMMISSIONERS — **100,000**
Harrisburg, Pennsylvania
For continuation of a public education strategy on sentencing and corrections policy in Pennsylvania.

PRETRIAL SERVICES RESOURCE CENTER — 122,000 — **122,000**
Washington, D.C.
To improve pretrial services in Delaware and Pennsylvania.

PUBLIC AGENDA FOUNDATION — (72,381)* — **102,619**
New York, New York
For studies of public opinion on sentencing and corrections policy in Pennsylvania and Florida.
**Rescinded*

ST. LOUIS UNIVERSITY SCHOOL OF LAW — 15,000 — **15,000**
St. Louis, Missouri
To develop a judicial education program.

THE SENTENCING INSTITUTE — **85,000**
Montgomery, Alabama
To support a center for policy analysis and advocacy on criminal justice issues in Alabama.

TUSCALOOSA COUNTY COMMISSION — **84,000**
Tuscaloosa, Alabama
To divert pretrial defendants from jail to community-based supervision.

VERA INSTITUTE OF JUSTICE, INC. — 250,000 — **177,100**
New York, New York
To support coordination of criminal justice reform activities in states assisted by the Foundation.

VERA INSTITUTE OF JUSTICE, INC. — 225,000 — **186,000**
New York, New York
To continue support for coordination of criminal justice reform activities in states assisted by the Foundation.

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WEST ALABAMA HEALTH SERVICES $55,500
Eutaw, Alabama
For a sentencing advocacy program in the 17th Judicial District of Alabama.

YALE UNIVERSITY 113,050
New Haven, Connecticut
For a series of sentencing education seminars at Yale Law School.

JUVENILE JUSTICE REFORM

CENTER ON JUVENILE AND CRIMINAL JUSTICE 75,000
San Francisco, California
To divert juveniles from San Francisco detention facilities to community-based supervision.

CRIME AND JUSTICE RESEARCH INSTITUTE 41,000
Philadelphia, Pennsylvania
For a national leadership development program for juvenile justice administrators.

CRIME AND JUSTICE RESEARCH INSTITUTE 148,000 70,000
Philadelphia, Pennsylvania
To continue a national leadership development program for juvenile justice administrators.

YOUTH LAW CENTER 194,200
San Francisco, California
To improve conditions of confinement for youths held in correctional institutions.

YOUTH LAW CENTER 6,000 6,000
San Francisco, California
To support a review of conditions at the New Jersey Training School for Boys.

LITIGATION

AMERICAN CIVIL LIBERTIES UNION FOUNDATION, INC. 625,000
Washington, D.C.
For the prison and jail litigation activities of the National Prison Project.

SOUTHERN CENTER FOR HUMAN RIGHTS 315,000
Atlanta, Georgia
To challenge conditions of confinement in Southern prisons and jails.

OTHER

FAMILIES AGAINST MANDATORY MINIMUMS FOUNDATION $60,000 $40,400
Washington, D.C.
To initiate a public education campaign about mandatory sentencing practices.

GARRISON & ARTERTON, P.C. (70,715)*
New Haven, Connecticut
*To identify exemplary practices in the operation of jails and prisons. *Rescinded*

LEGAL ACTION CENTER OF THE CITY OF NEW YORK, INC. (6,000)*
New York, New York
*To develop a policymakers' guide to drug treatment programs for the corrections system. *Rescinded*

MINNESOTA CITIZENS' COUNCIL ON CRIME AND JUSTICE 10,000 10,000
Minneapolis, Minnesota
To develop a plan to produce and distribute a publication on sentencing and corrections policy.

THE SENTENCING PROJECT 44,711
Washington, D.C.
To support public education and the development of client-based sentencing advocacy programs.

THE SENTENCING PROJECT 184,000 140,000
Washington, D.C.
To continue support for public education and the development of client-based sentencing advocacy programs.

THE SENTENCING PROJECT 150,000 23,729
Washington, D.C.
To establish an organization of current and former criminal justice officials for the reform of sentencing policies.

LESS REFUNDS ($10,559) ($10,559)

TOTAL PROGRAM $1,861,845 $4,109,000

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Of the $30 billion invested in health research worldwide, only five percent is dedicated to diseases that are prevalent in developing countries. Correcting such an imbalance is critically important to improving the lives of people living in these areas. Through its grantmaking, the Tropical Disease Research Program works to help achieve better health in the developing world by advancing the means for controlling schistosomiasis, onchocerciasis, and trachoma. The Program's current focus is on the development of a vaccine for each disease, but grants also support operational research to strengthen national programs to control schistosomiasis and trachoma.

Program for

Disease Research

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Scanning a genetic database in his lab at the University of Alabama in Birmingham in the summer of 1991, molecular biologist Dr. Thomas Unnasch stumbled on an intriguing snatch of information. Among the list of DNA sequences for cloned onchocercal antigens was a nearly identical match to a protein molecule he'd been studying for years. The molecule, an antigen that Unnasch called RAL-2, can be extracted from the parasite that causes onchocerciasis, commonly known as river blindness. Unnasch found that RAL-2, once cloned and placed in blood samples collected from people who were exposed to the parasite, showed evidence of an immune response.

Unnasch is among a group of researchers who, with Foundation support, are studying antigens collected from the parasite *Onchocerca volvulus* to determine their potential for fighting onchocerciasis. As a means of avoiding duplication of work on

A Unified Front To Stop River Blindness

a particular antigen and encouraging collaboration among researchers studying similar molecules, Unnasch compiles unpublished DNA sequences of all cloned oncho antigens, along with the names of the researchers who are studying them.

Ironically, Unnasch himself turned out to be among the first to have a match for a sequence of antigen and was personally able to test the proposition that collaboration among basic researchers could help advance the development of an oncho vaccine.

In a laboratory at London's Imperial College, molecular immunologist Dr. Janette Bradley had been working with an antigen she called OC3.6, a protein molecule like RAL-2 but with fewer DNA pairs. She had tested OC3.6 in blood samples taken from individuals who were exposed to oncho in Mali and found that the antigen provoked an immunological response.

After making the discovery about the genetic similarity of RAL-2 and OC3.6, Unnasch phoned Bradley, whom he had met at a Foundation-sponsored meeting of oncho researchers, with his news. It turned out that Bradley was working on her antigen for some time and had data that were of interest to Unnasch. For his part, Unnasch had also learned a great deal about RAL-2's immunological properties, information that he had not yet presented publicly. The two decided to join forces and divide the labor. By working together, they were able to make faster progress. The collaboration proved a terrific boon for their research and reinforced their hunch about the antigen's promise as a potential candidate for a vaccine against oncho.

Over the next two years, Unnasch concentrated on producing the molecule in mass quantities, while Bradley tested the antigen's behavior in blood samples she had collected from oncho-exposed populations in Ecuador, Guatemala, and Cameroon. In December 1993, Unnasch and Bradley published their

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Onchocerciasis has been described as a disease that occurs "*au bout de la piste*—at the end of the road and beyond." It flourishes among the world's poor, whose voices do not carry the political weight needed to give the disease the attention it needs.

findings on RAL-2/OC3.6 in *Experimental Parasitology*. They reported that the antigen was located near the surface of the parasite, and that because of this strategic placement, it would be recognized by human antibodies in the bloodstream, possibly provoking a protective response.

Unmasking the nature and function of RAL-2/OC3.6 required that the two scientists work toward the same goal, while contributing different strengths. "In a collaborative arrangement," Unnasch reflects, "you can divide work, get more work done, and everybody ends up a winner." Such partnerships are unusual in the competitive world of basic scientific research, where scarce resources are a coveted prize. But investigators working to develop an oncho vaccine seem to thrive on cooperation. Quite simply, they see it as the best way to work.

Oncho investigators share their findings at biennial meetings, through informal contacts they initiate, and through *The Greene Sheet*, a newsletter named in memory of Dr. Bruce Greene, an onchocerciasis researcher at the University of Alabama who died in 1992. What sets these researchers apart from many of their peers in other fields, says Dr. David Abraham, a parasite immunologist at Philadelphia's Thomas Jefferson University, is that "this is not a one-laboratory job. Molecular biologists, entomologists, filarial biologists, immunologists are all putting in their part of one unified effort."

BUILDING BRIDGES

Since 1984, the Foundation, through its Tropical Disease Research Program, has supported collaboration among scientists involved in research to develop a vaccine against oncho. The teamwork fostered by the Program has encouraged investigators to make the most of limited resources and has quickened the pace of extremely complex research procedures. "The Program is a catalyst," explains Dr. Eric Ottesen, head of clinical parasitology at the National Institute of Allergies and Infectious Diseases, "enabling scientists to conduct a level of research they might otherwise not be able to carry out."

The cooperative spirit that has defined the Foundation's oncho vaccine development efforts, however, is not unique to this disease. Collaboration also underlies the Program's work in trachoma and schistosomiasis. Foundation support has encouraged collaboration on clinical trials for the new drug azithromycin as a treatment for trachoma, the leading cause of infectious blindness in Africa, the Middle East, and Asia. In its work on schistosomiasis, a chronic parasitic disease that can lead to liver fibrosis and kidney failure, the Foundation has collaborated with health and education officials, researchers, and funding agencies to develop a strategy for treating school-age children.

With oncho vaccine development, the Foundation has focused the collaboration on basic scientific research. The investigators involved come from a variety of separate disciplines, including molecular immunology, parasitology, epidemiology, and microbiology, which, traditionally, have limited

In his laboratory at the University of Alabama, Dr. Thomas Unnasch studies immune responses to proteins extracted from the parasite, Onchocerca volvulus.

meaningful interaction. These scientists have gotten together to share tasks and cooperate on several levels of vaccine development, from obtaining scarce research materials and identifying antigens, to testing promising candidates in animal models.

ONCHO'S PATH

The late Dr. Bruce Greene once described onchocerciasis as a disease "that occurs *au bout de la piste*—at the end of the road and beyond." It flourishes among the world's poor, whose voices do not carry the political weight needed to give the disease the attention and resources it needs. The world's fourth leading cause of blindness, oncho afflicts more than 18 million people—mainly in Latin America and Africa. Of those infected, 700,000 are visually impaired from the disease, and 300,000 are blind.

Oncho is spread by black flies that live and breed around fast-flowing rivers. The flies ingest microscopic larvae when they bite infected humans. They then pass on the parasite by biting others. The infective larvae mature within a year or two and form nodules within the human body. In their adult stage, female worms of the parasite release thousands of larvae, called microfilaria, which migrate rapidly, concentrating beneath the skin, around the lymph nodes and the eyes. The body produces an allergic response to the microfilaria and scar tissue forms. The skin around infected areas thickens and becomes coarse. In the eyes, scar tissue envelopes the worms, turning the internal eye chamber opaque and sightless.

Blindness strikes after 20 to 30 years of infection. Typically, those blinded by oncho are adult men and women who are providers for their families. Oncho can destabilize families and cause the abandonment of entire villages located on fertile land near the streams and rivers in which black flies breed.

The drug ivermectin is the primary treatment for fighting oncho infection. Taken annually in a single oral dosage, it temporarily prevents the female worm from reproducing, thus reducing the number of microfilaria in the body. Within six to 12 months, however, the female worm begins reproducing again and, without repeated treatment, the pathological process that leads to disease continues. A protective vaccine holds promise of preventing infection and thereby averting disease.

THE HOPE OF A VACCINE

The Program's vaccine development strategy began with the establishment of the Onchocerciasis Task Force in 1985. Currently based at the National

Institute of Allergies and Infectious Diseases in Bethesda, Maryland, and coordinated by immunologist Dr. Cathy Steel, the Task Force is a small, multidisciplinary group of scientists involved in oncho research. Working with the Foundation's program staff, the Task Force monitors and coordinates activities related to the development of a vaccine. It also plays a critical role in the Program's strategy by orchestrating the distribution of scarce resource materials used for identifying and evaluating protective antigens.

Infective third stage larvae, or L3's, are the focal point of the immunological research from which the oncho antigens being studied are derived. Before 1987, L3's were almost impossible to come by. The Task Force, however, has been able to tap the expertise of entomologists in West Africa who can locate infected black flies, collect and dissect them, and prepare the L3's for distribution to laboratories around the world. Originally, the Task Force set up an L3 collection center in an oncho-endemic region of Liberia. In 1991, however, civil war brought the Liberian operation to a halt. The Foundation has since established L3 production sites in Côte d'Ivoire and Cameroon.

The Task Force also works with researchers who are studying the range of clinical responses to oncho infection. Field researchers based in Latin America and West Africa are comparing reactions of different populations living in the same area to oncho infection. Many of the people involved in these studies are putatively immune—exposed to oncho, but showing no signs of infection or disease. These subjects could hold a key to finding protective antigens for a vaccine. The Task Force made blood samples from these clinical studies available for lab testing with antigens.

With a steady supply of resource materials, investigators have been able to identify and characterize molecules that might trigger a protective response in the parasite's human host. Twenty groups of scientists in laboratories around the world, most of them Foundation grantees, have so far cloned and evaluated approximately 50 of these antigens. Researchers are aiming to pinpoint an antigen or combination of antigens that could activate the human immune system during the key stage in the worm's life cycle. According to oncho researcher Dr. Rocky Tuan of Thomas Jefferson University, the quest is to find an antigen that can eliminate the parasite at the larval stage "before it can find its place in the host."

The work being done to test the antigens in animal models further illustrates how important collaboration has been to advancing oncho vaccine studies. With support from the Foundation, Dr. David Abraham at Thomas Jefferson University, and Dr. Richard Lucius at the University of Hohenheim in Stuttgart, Germany, have developed standardized protocols for testing promising antigens in two complementary animal models. Working on the antigens submitted by the Task Force, Abraham and Lucius run parallel screening programs to determine which, if any, antigens provoke a protective response. Abraham injects mice with a candidate vaccine and then implants larvae-filled capsules to determine whether an immunological response to the parasite can be provoked. Because mice are not a natural host for the parasite, however, the worm dies before researchers can study its complete life

Investigators working to develop a vaccine for onchocerciasis seem to thrive on cooperation. Quite simply, they see it as the best way to work.

cycle in the animal model. To compensate for this limitation, Lucius uses a related, but different, parasite in its natural host, enabling him to study the worm's entire developmental cycle. This parasite, *Acanthocheilonema viteae*, occurs in a gerbil-like rodent called the jird.

Though their studies are conducted independently, the results are mutually beneficial. According to Lucius, Abraham's work has helped him better understand "the initial period of the life cycle, when very important immune responses probably happen." Lucius's work gives Abraham's lab new insight into the entire development stage of a related parasite. Abraham and Lucius test the same antigens and routinely exchange information about their results. Both scientists agree that their collaboration helps the work move faster. "If something looks really good in my system," Abraham explains, "I get in touch with Richard immediately and let him know." Abraham will also contact Lucius's lab when results are unclear to see if his colleague can shed any light on the data. "It's very good that the lines of communication are open and that we are not competing with each other. We do whatever we can to help each other to get to the final goal of finding a protective antigen."

The two laboratories hope to come up with the same results when testing an individual antigen. Early in their collaboration, Abraham and Lucius developed a standardized protocol for testing antigens. These guidelines, Abraham explains, ensure that they are "able to interpret the results as one body of information and not as two separate studies that could or could not be related one to the other."

Abraham and Lucius have screened six antigens so far and will soon be testing another five. Antigens that make the cut in their labs will move on to the next level of testing in cattle. Antigens that succeed in those studies may eventually be ready for human trials.

All of the Foundation's oncho grantees recognize the difficulties of actually finding a vaccine. While vaccines for single-cell organisms that cause diseases such as measles and influenza are part of the medical mainstream, no vaccine for a human multicellular parasitic infection, such as oncho, has ever been developed. Nonetheless, researchers feel that the collaborative experience has increased their understanding of the disease. They know more about how a parasitic infection occurs and how the host immune system responds to an outside invader. Such information is key to understanding the epidemiology of onchocerciasis.

To get this far, those who dream of finding an oncho vaccine have stepped out of their isolated laboratories and joined a common front. By amassing talents, resources, and ideas, they are getting the job done.

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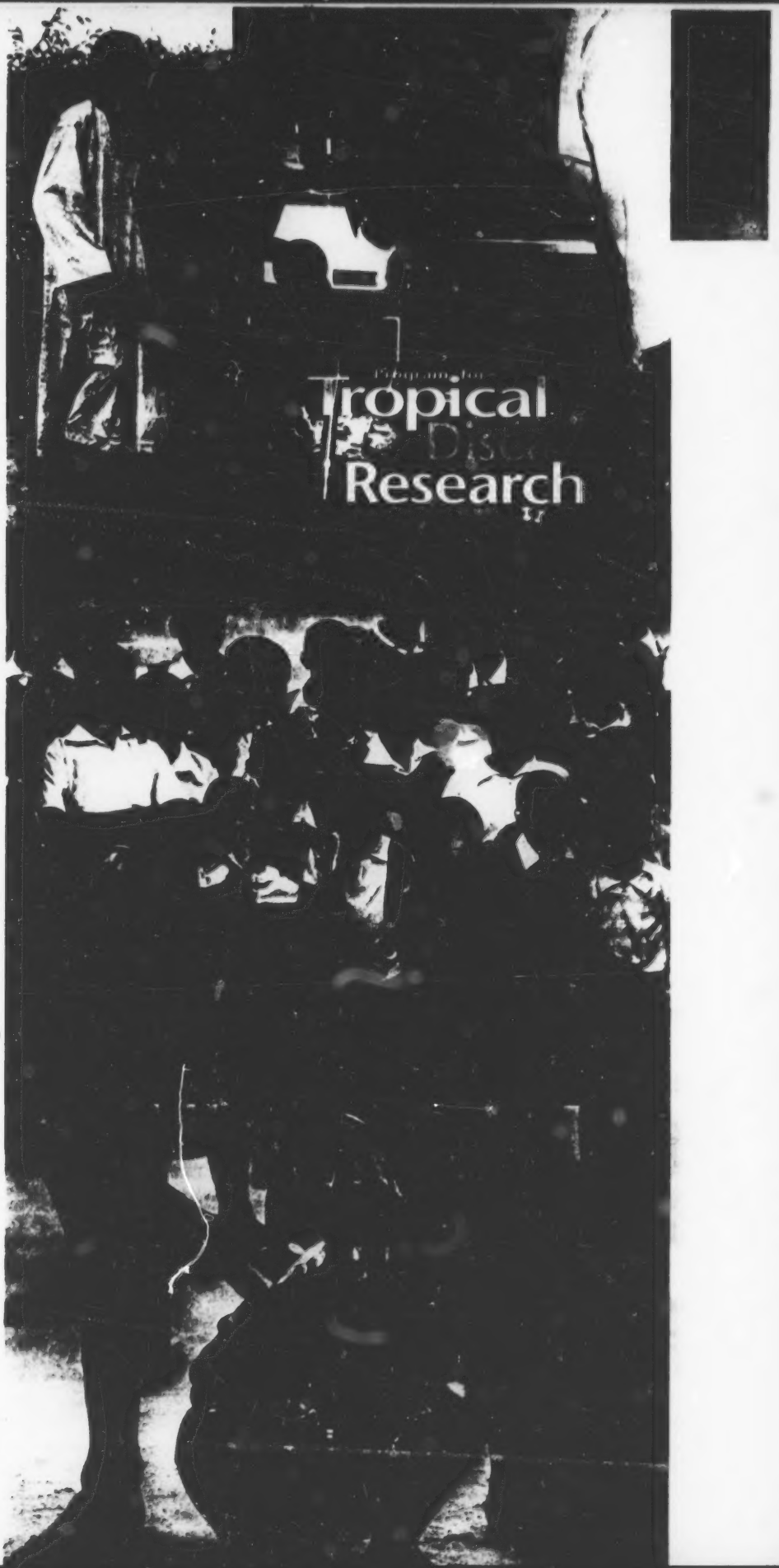
Tropical
Research

SCHISTOSOMIASIS

THE DRUG AND VACCINE DEVELOPMENT CORPORATION $27,500 $27,500
New York, New York
To assess the feasibility of an alternative method for producing the drug praziquantel.

IMPERIAL COLLEGE OF SCIENCE, TECHNOLOGY AND MEDICINE 60,000
London, United Kingdom
To develop and validate a cost-effectiveness model for comparing schistosomiasis control strategies.

IMPERIAL COLLEGE OF SCIENCE, TECHNOLOGY AND MEDICINE 116,000
London, United Kingdom
To plan a school-based program for the integrated control of parasitic diseases in Tanzania.

MEDICAL RESEARCH COUNCIL 50,000 40,000
London, United Kingdom
To prepare a monograph on 12 years of schistosomiasis research in Machakos, Kenya.

THE MIRIAM HOSPITAL 15,000
Providence, Rhode Island
To develop and test a geographical information system for managing schistosomiasis control in Minia, Egypt.

PROGRAM FOR APPROPRIATE TECHNOLOGY IN HEALTH 40,000
Seattle, Washington
To complete the development and validation of a simple diagnostic test for urinary schistosomiasis and to scale up facilities in Africa for its production.

THE TASK FORCE FOR CHILD SURVIVAL AND DEVELOPMENT (40,000)* 80,000
Atlanta, Georgia
*To coordinate technical assistance and operational research for a national program to control schistosomiasis and helminthic diseases and improve the health of school-age children in Ghana. *Rescinded*

UNITED STATES COMMITTEE FOR UNICEF 37,750 37,750
New York, New York
To purchase and deliver praziquantel for the Partnership for Child Development's operational research on the control of schistosomiasis in Ghana.

WORLD HEALTH ORGANIZATION $500,000 $250,000
Geneva, Switzerland
To coordinate the development of a vaccine against schistosomiasis.

TRACHOMA

THE REGENTS OF THE UNIVERSITY OF CALIFORNIA 127,000
San Francisco, California
To develop a vaccine against blinding trachoma.

THE REGENTS OF THE UNIVERSITY OF CALIFORNIA 45,000 20,000
San Francisco, California
To evaluate a face-washing intervention program to control blinding trachoma in Egypt.

THE REGENTS OF THE UNIVERSITY OF CALIFORNIA 200,000
San Francisco, California
To identify and characterize antigens for a vaccine against trachoma.

CENTRAL EYE HEALTH FOUNDATION 20,000
Dodoma, Tanzania
To integrate a strategy based on health education to prevent blinding trachoma into the Tanzanian Ministry of Health's Primary Eye Care Program.

CONNAUGHT LABORATORIES LTD. 200,000 70,000
Willowdale, Ontario, Canada
To investigate the protective role of mucosal immunity in chlamydial infection.

PRESIDENT AND FELLOWS OF HARVARD COLLEGE 35,000 35,000
Cambridge, Massachusetts
To estimate the disease burden of blinding trachoma and the costs of its control.

HELEN KELLER INTERNATIONAL, INC. 100,000
New York, New York
To support a task force to coordinate research for preventing blinding trachoma and to assist the World Health Organization in developing national plans for its control.

HELEN KELLER INTERNATIONAL, INC. 120,000 120,000
New York, New York
To coordinate preparatory work for a multicenter trial to evaluate the impact of the drug azithromycin on the control of trachoma.

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INSTITUTE OF OPHTHALMOLOGY $45,000 $20,000
London, United Kingdom
To evaluate a population-based approach to controlling blinding trachoma in seminomadic communities in Kenya.

INSTITUTE OF OPHTHALMOLOGY 27,000 27,000
London, United Kingdom
To develop interactive educational materials on trachoma.

THE JOHNS HOPKINS UNIVERSITY 60,000
Baltimore, Maryland
To provide technical assistance for the integration of community education to prevent trachoma into the Tanzanian Ministry of Health's Primary Eye Care Program.

THE JOHNS HOPKINS UNIVERSITY 50,000
Baltimore, Maryland
To validate and characterize a mouse model of ocular infection by Chlamydia trachomatis.

THE JOHNS HOPKINS UNIVERSITY 125,000 50,000
Baltimore, Maryland
To investigate the protective role of cell-mediated immunity in chlamydial infection and blinding disease.

LONDON SCHOOL OF HYGIENE AND TROPICAL MEDICINE 95,000
London, United Kingdom
To support vaccine studies focusing on the immune responses of people infected with blinding trachoma in Gambia.

LONDON SCHOOL OF HYGIENE AND TROPICAL MEDICINE 220,000 28,000
London, United Kingdom
To investigate the protective role of cell-mediated immunity in chlamydial infection and blinding disease.

THE UNIVERSITY OF MANITOBA 65,000
Winnipeg, Manitoba, Canada
To develop a vaccine against blinding trachoma.

UNIVERSITY OF MASSACHUSETTS 170,000 45,000
Amherst, Massachusetts
To study a promising candidate antigen for a vaccine against blinding trachoma.

PROJECT ORBIS INTERNATIONAL, INC. $17,000 $17,000
New York, New York
To produce an educational video on a simplified surgical technique for correcting trachoma-associated trichiasis.

THE UNIVERSITY OF SOUTHAMPTON 55,000
Southampton, United Kingdom
To develop a computer model that simulates the epidemiology and transmission dynamics of trachoma and the costs of alternative strategies for its control.

THE UNIVERSITY OF SOUTHAMPTON 85,000
Southampton, United Kingdom
To investigate the role of mucosal immunity in chlamydial infection.

THE UNIVERSITY OF SOUTHAMPTON 165,000
Southampton, United Kingdom
To investigate the protective role of tear antibodies against chlamydial infection.

THE UNIVERSITY OF TEXAS HEALTH SCIENCE CENTER 185,000 45,000
San Antonio, Texas
To study the protective role of cell-mediated immunity in chlamydial infection.

TRUSTEES OF HEALTH AND HOSPITALS OF THE CITY OF BOSTON, INC. 75,000
Boston, Massachusetts
To develop a vaccine against blinding trachoma.

UNITED BIOMEDICAL, INC. 200,000 55,000
Hauppauge, New York
To develop a vaccine against blinding trachoma.

WAYNE STATE UNIVERSITY 70,000
Detroit, Michigan
To test the ability of an antibody-targeted vaccine to elicit mucosal immunity against chlamydial infection.

WAYNE STATE UNIVERSITY 160,000 40,000
Detroit, Michigan
To evaluate the association between the mucous membrane antibodies and protection against chlamydial infection.

BOARD OF REGENTS OF THE UNIVERSITY OF WISCONSIN 25,000
Madison, Wisconsin
To study immune responses to infection with Chlamydia trachomatis.

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BOARD OF REGENTS OF THE UNIVERSITY OF WISCONSIN SYSTEM $195,000 $50,000
Madison, Wisconsin
To study the role of mucosal immunity in persistent infection in blinding trachoma.

ONCHOCERCIASIS

THE BOARD OF TRUSTEES OF THE UNIVERSITY OF ALABAMA 82,000
Birmingham, Alabama
To develop a vaccine against onchocerciasis by characterizing recombinant vaccine candidates and by defining the immune response in people living in endemic areas.

THE BOARD OF TRUSTEES OF THE UNIVERSITY OF ALABAMA 225,000 50,000
Birmingham, Alabama
To characterize and produce steroid receptor antigens for a vaccine against onchocerciasis.

BERNHARD-NOCHT-INSTITUT FUR TROPENMEDIZIN 230,000 65,000
Hamburg, Germany
To characterize and produce recombinant antigens for a vaccine against onchocerciasis.

THE REGENTS OF THE UNIVERSITY OF CALIFORNIA 300,000 50,000
San Francisco, California
To produce recombinant antigens for a vaccine against onchocerciasis.

THE CHANCELLOR, MASTERS AND SCHOLARS OF THE UNIVERSITY OF CAMBRIDGE 250,000 56,000
Cambridge, United Kingdom
To identify protective antigens for a vaccine against onchocerciasis.

EMORY UNIVERSITY (73,000)* 75,000
Atlanta, Georgia
To develop a vaccine against onchocerciasis by correlating immunogenic Onchocerca volvulus *antigens to protective immune responses in infected people in Guatemala. *Rescinded*

FOUNDATION FOR ADVANCED EDUCATION IN THE SCIENCES, INC. 165,000
Bethesda, Maryland
To support a task force to coordinate research and development efforts toward a vaccine against onchocerciasis.

FOUNDATION FOR ADVANCED EDUCATION IN THE SCIENCES, INC. $(75,000)*
Bethesda, Maryland
*To characterize the nature of resistance to onchocercal infection in Ecuador. *Rescinded*

UNIVERSITAT HOHENHEIM 300,000 40,000
Stuttgart, Germany
To characterize and produce recombinant antigens for a vaccine against onchocerciasis.

IMPERIAL COLLEGE OF SCIENCE, TECHNOLOGY AND MEDICINE 265,000 70,000
London, United Kingdom
To conduct sero-epidemiological studies to identify antigens for a vaccine against onchocerciasis.

INSTITUT FUR TROPENHYGIENE DER UNIVERSITAT HEIDELBERG 38,000
Heidelberg, Germany
To screen onchocerciasis antigens in an Acanthocheilonema viteae/*jird model.*

STATE UNIVERSITY OF IOWA 85,000 25,000
Iowa City, Iowa
To evaluate the use of live vectors in a vaccine against onchocerciasis.

THE JOHNS HOPKINS UNIVERSITY 155,000
Baltimore, Maryland
To produce the infective third-stage larvae of Onchocerca volvulus *and to distribute them for research toward development of a vaccine against onchocerciasis.*

THE JOHNS HOPKINS UNIVERSITY 220,000 71,000
Baltimore, Maryland
To identify and characterize fourth-stage larval antigens for a vaccine against onchocerciasis.

THE INCORPORATED LIVERPOOL SCHOOL OF TROPICAL MEDICINE 70,000
Liverpool, United Kingdom
To evaluate the feasibility of the Onchocerca ochengi/*bovine system as a model for human onchocercal infection.*

THE INCORPORATED LIVERPOOL SCHOOL OF TROPICAL MEDICINE 260,000 60,000
Liverpool, United Kingdom
To use infected mice for identifying and producing protective antigens for a vaccine against onchocerciasis.

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MAX-PLANCK-GESELLSCHAFT ZUR FORDERUNG DER WISSENSCHAFTEN E.V. $150,000 $70,000
Munich, Germany
To use differential screening to identify protective antigens for a vaccine against onchocerciasis.

NATIONAL INSTITUTE OF ALLERGY AND INFECTIOUS DISEASES 104,951 104,951
Bethesda, Maryland
To characterize the nature of resistance to onchocercal infection in Ecuador.

NEW ENGLAND BIOLABS, INC. (50,000)*
Beverly, Massachusetts
*To support the production of promising onchocerciasis antigens for screening in animal models. *Rescinded.*

NEW ENGLAND BIOLABS, INC. 105,000 25,000
Beverly, Massachusetts
To assess the potential of the enzyme chitinase for a vaccine against onchocerciasis.

NEW YORK BLOOD CENTER, INC. 70,000
New York, New York
To produce infective, third-stage larvae of Onchocerca volvulus *for use in vaccine studies.*

NEW YORK BLOOD CENTER, INC. 300,000 105,000
New York, New York
To identify and evaluate excretory/secretory antigens for a vaccine against onchocerciasis.

NEW YORK BLOOD CENTER, INC. 50,000 50,000
New York, New York
To establish a production facility and produce third-stage larvae of Onchocerca volvulus *in Cameroon.*

PARAVAX, INC. 145,000 58,000
Fort Collins, Colorado
To evaluate Onchocerca volvulus *analogues of dog heartworm antigens for a vaccine against onchocerciasis.*

RIVER BLINDNESS FOUNDATION 51,000 30,000
Houston, Texas
To conduct operational research to assess the long-term impact of ivermectin on onchocerciasis.

SMITH COLLEGE 95,000 35,000
Northampton, Massachusetts
To construct a DNA library as a research resource for developing a vaccine against onchocerciasis.

THOMAS JEFFERSON UNIVERSITY $120,000
Philadelphia, Pennsylvania
To develop a rodent model for the study of immunity to onchocerciasis.

THOMAS JEFFERSON UNIVERSITY 80,000
Philadelphia, Pennsylvania
To screen onchocerciasis antigens in a mouse chamber model.

THOMAS JEFFERSON UNIVERSITY 19,000
Philadelphia, Pennsylvania
To characterize promising antigens for a vaccine against onchocerciasis.

OTHER

THE EDNA MCCONNELL CLARK FOUNDATION 3,922
New York, New York
To coordinate the preparation, prosecution, and maintenance of patent applications for inventions discovered by Foundation grantees.

COUNCIL ON HEALTH RESEARCH FOR DEVELOPMENT 200,000 100,000
Geneva, Switzerland
To support its secretariat and to promote essential national health research in Africa.

MINISTRY OF HEALTH, GHANA 110,000
Accra, Ghana
To conduct an epidemiological assessment on the health of school-age children in Ghana.

PRESIDENT AND FELLOWS OF HARVARD COLLEGE 40,000
Cambridge, Massachusetts
To formulate a work plan and design applied research protocols for the World Health Organization's Tuberculosis Operational Research Task Force.

PRESIDENT AND FELLOWS OF HARVARD COLLEGE 108,000 43,000
Cambridge, Massachusetts
To refine the methodology and conduct a national burden of disease study in Ghana.

LESS REFUNDS ($31,619) ($31,619)

TOTAL PROGRAM $6,008,582 $4,109,504

OPY AVAILABLE

Most of the Foundation's efforts are directed to the five major programs, but we maintain a special grants category in order to respond to a few projects that serve the disadvantaged but do not fall directly into one of the program areas. This category of grants also allows us to explore potential new fields for Foundation involvement and to support a cluster of organizations that protect the rights of minorities and promote opportunities for the poor.

CENTER ON BUDGET AND POLICY PRIORITIES $25,000
Washington, D.C.
For the Center's advocacy and research on problems of housing and poverty.

CENTER ON BUDGET AND POLICY PRIORITIES 40,000 10,700
Washington, D.C.
To continue the Center's advocacy and research on problems of housing and poverty.

CHILDREN NOW 50,000 50,000
Oakland, California
To initiate and implement a program to educate California citizens about school reform issues.

CHILDREN OF WAR, INC. 20,000
Brooklyn, New York
To expand its capacity to train youth leaders.

CITY VOLUNTEER CORPS, INC. 35,000 35,000
New York, New York
To develop a plan for a public safety component of President Clinton's national service initiative.

THE TRUSTEES OF COLUMBIA UNIVERSITY IN THE CITY OF NEW YORK 50,000 44,550
New York, New York
To study the ethical issues posed by the sale of human organs for transplant and the use of organs from executed criminals.

COMMISSION TO INVESTIGATE ALLEGATIONS OF POLICE CORRUPTION 50,000
New York, New York
To prepare a report on the findings of the Commission to Investigate Allegations of Police Corruption in the New York City Police Department.

THE EUREKA FOUNDATION 35,000 20,000
Washington, D.C.
To provide core support for the Eureka Fellowship Program for directors of grassroots organizations.

FOOD RESEARCH AND ACTION CENTER, INC. 15,000
Washington, D.C.
To expand school breakfast programs as a means of reducing childhood hunger.

HAITIAN REFUGEE CENTER (12,501)*
Miami, Florida
*To support efforts to defend the legal rights of Haitian detainees at the Krome Detention Center. *Rescinded*

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JUDGE DAVID L. BAZELON CENTER FOR MENTAL HEALTH LAW $20,000
Washington, D.C.
To promote opportunities under the Americans with Disabilities Act for people with mental illness.

METROPOLITAN ASSISTANCE (VICTIM SERVICES/ TRAVELERS AID CORPORATION) 50,000
New York, New York
To assess the effectiveness of a program of the Streetwork Project for reducing harmful behavior among substance-abusing street youth.

MEXICAN COMMISSION FOR DEFENSE AND PROMOTION OF HUMAN RIGHTS 25,000 25,000
Mexico City, Mexico
To monitor, defend, and promote human rights in Mexico.

NAACP LEGAL DEFENSE AND EDUCATIONAL FUND, INC. 40,000
New York, New York
For support of the Fund's Poverty and Justice Program.

NATIONAL IMMIGRATION, REFUGEE, AND CITIZENSHIP FORUM 50,000 35,000
Washington, D.C.
To support the Forum's Asylum and Safe Haven Task Force.

NEW, INC./FOURTH WORLD MOVEMENTS 3,750
Landover, Maryland
For street libraries.

NEW YORK UNIVERSITY 35,000 15,000
New York, New York
To improve the control of tuberculosis in the Haitian, Dominican, and Chinese communities in New York City.

9 TO 5, WORKING WOMEN EDUCATION FUND 40,000 40,000
Milwaukee, Wisconsin
To educate the public about the Family and Medical Leave Act of 1993.

REFUGEES INTERNATIONAL 25,000 25,000
Washington, D.C.
To monitor the needs of refugees worldwide and to advocate for their rights.

SISTERHOOD IS GLOBAL INSTITUTE, INC. $35,000 $35,000
Bethesda, Maryland
For the development and distribution of materials on the practice of female genital mutilation.

TIME DOLLAR, INC. OF GREATER MIAMI 25,000
Washington, D.C.
To provide technical assistance and disseminate information for the implementation of service credit programs.

WOMEN'S LEGAL DEFENSE FUND, INC. 40,000 10,000
Washington, D.C.
For efforts to increase child support for single mothers.

FIELD OF PHILANTHROPY

COUNCIL ON FOUNDATIONS, INC. 34,600 34,600
Washington, D.C.
For the Foundation's annual membership in the Council, the national association of grantmaking organizations.

THE FOUNDATION CENTER 40,000 40,000
New York, New York
To provide general support for the principal source of information and analysis about foundations.

INDEPENDENT SECTOR 7,400 7,400
Washington, D.C.
To renew the Foundation's membership in Independent Sector, the coalition of foundations, corporations, and national voluntary organizations.

NEW YORK REGIONAL ASSOCIATION OF GRANTMAKERS, INC. 9,000 9,000
New York, New York
To renew the Foundation's membership in NYRAG, the organization of grantmakers in the greater New York area.

LESS REFUNDS ($10,000) ($10,000)

TOTAL PROGRAM $628,499 $575,000

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Communications

The Foundation is committed to advancing the goals of the five grantmaking programs through communication with researchers, administrators, advocates, policymakers, members of the media, the public, and staff of other philanthropic organizations. The Office of Communications works with program officers and grantees to develop communications initiatives to help strengthen individual organizations. The office also provides information about the areas in which the Foundation works. During fiscal year 1993, these activities were funded from self-administered grants of $300,000.

THE EDNA MCCONNELL CLARK FOUNDATION **$275,000**
New York, New York
To support a Foundation-administered program for the dissemination of information about issues within the Foundation's program areas and for communications assistance to grantees.

THE EDNA MCCONNELL CLARK FOUNDATION **25,000** **25,000**
New York, New York
To continue support for a Foundation-administered program for the dissemination of information about issues within the Foundation's program areas and for communications assistance to grantees.

THE EDNA MCCONNELL CLARK FOUNDATION **380,000**
New York, New York
To continue support for a Foundation-administered program for the dissemination of information about issues within the Foundation's program areas and for communications assistance to grantees.

TOTAL PROGRAM **$405,000** **$300,000**

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1993 Grants Summary/ Current Activities

	Unpaid Grants as of 9/30/92	Grants Awarded During Year*	Grants Paid During Year**	Unpaid Grants as of 9/30/93
Children	$3,034,800	$3,848,100	$4,023,000	$2,859,900
Disadvantaged Youth	3,666,544	5,296,041	4,109,000	4,853,585
Homeless Families	2,049,415	1,845,894	2,775,000	1,120,309
Justice	4,862,351	1,861,845	4,109,000	2,615,196
Tropical Disease Research	2,736,302	6,008,582	4,109,504	4,635,380
Special Projects	206,251	628,499	575,000	259,750
Communications	275,000	405,000	300,000	380,000
	$16,830,663	$19,893,961	$20,000,504	$16,724,120

** Net of refunds and rescissions*
*** Net of refunds*

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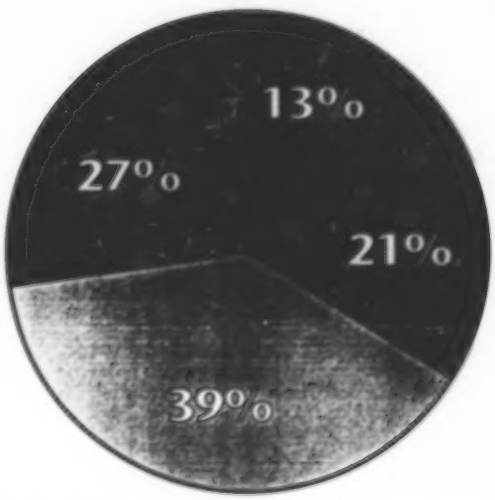
Percentage of

Grants Awarded

by size of Grants 1993



AVERAGE GRANT SIZE: $135,000

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FINANCIAL STATEMENTS

REPORT OF INDEPENDENT AUDITORS

BOARD OF TRUSTEES
THE EDNA MCCONNELL CLARK FOUNDATION

We have audited the accompanying balance sheets of The Edna McConnell Clark Foundation (the "Foundation") as of September 30, 1993 and 1992, and the related statements of income, expenses and changes in fund balance for the years then ended. These financial statements are the responsibility of the Foundation's management. Our responsibility is to express an opinion on these financial statements based on our audits.

We conducted our audits in accordance with generally accepted auditing standards. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free of material misstatement. An audit includes examining, on a test basis, evidence supporting the amounts and disclosures in the financial statements. An audit also includes assessing the accounting principles used and significant estimates made by management, as well as evaluating the overall financial statement presentation. We believe that our audits provide a reasonable basis for our opinion.

In our opinion, the financial statements referred to above present fairly, in all material respects, the financial position of The Edna McConnell Clark Foundation at September 30, 1993 and 1992, and the results of its operations and changes in its fund balance for the years then ended in conformity with generally accepted accounting principles.

New York, New York
November 19, 1993

Ernst + Young

BALANCE SHEETS

	9/30/93	9/30/92
ASSETS		
Cash	$ 10,376	$ 13,505
Investments (*Notes 1 and 3*)	504,800,851	439,010,465
Due from brokers, unsettled security transactions	13,876,306	16,382,341
Interest, dividends and other receivables	1,821,036	3,354,798
Furniture, fixtures and leasehold improvements, at cost, net of accumulated depreciation and amortization of $498,967 in 1993 and $467,485 in 1992	95,362	71,948
Total assets	$520,603,931	$458,833,057
LIABILITIES AND FUND BALANCE		
Grants payable (*Note 1*)	$ 16,724,120	$ 16,830,663
Due to brokers, unsettled security transactions	36,567,579	16,747,109
Deferred Federal excise tax	2,209,696	1,554,118
Other liabilities	288,346	228,069
Total liabilities	55,789,741	35,359,959
Commitments (*Notes 1 and 4*)	–	–
Fund balance	464,814,190	423,473,098
Total liabilities and fund balance	$520,603,931	$458,833,057

See accompanying notes.

STATEMENTS OF INCOME, EXPENSES AND CHANGES IN FUND BALANCE

	YEAR ENDED: 9/30/93	9/30/92
INVESTMENT INCOME:		
Dividends	$ 7,595,868	$ 7,368,063
Interest	9,833,417	13,589,422
Other	–	77,232
	17,429,285	21,034,717
GRANTS AND EXPENSES:		
Grants awarded (net of grant rescissions of $603,915 in 1993 and $544,654 in 1992)	19,893,961	15,353,721
Provision for Federal excise tax	680,411	885,589
Administrative expenses:		
Program and grant management	2,736,412	2,780,414
Investment management	1,387,638	1,416,934
General management	659,322	704,599
	25,357,744	21,141,257
Deficiency of investment income over grants and expenses	(7,928,459)	(106,540)
Net gain from securities sales and net change in market prices of investments, net of provision (credit) for deferred Federal excise tax (*Note 3*)	49,269,551	22,883,387
Excess of income over grants and expenses	41,341,092	22,776,847
Fund balance, beginning of year	423,473,098	400,696,251
Fund balance, end of year	$464,814,190	$423,473,098

See accompanying notes.

1. SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

Method of Accounting
The accounts of The Edna McConnell Clark Foundation (the "Foundation") are maintained, and the accompanying financial statements have been prepared, on the accrual basis of accounting. Grants are charged to expense at the time of approval by the Board of Trustees.

Investments
Investments in marketable securities are carried at quoted market prices. Unrealized gains or losses are determined using quoted market prices at the respective balance sheet dates. Realized gains or losses are determined using the proceeds from sales on a first-in, first-out basis. Real estate investments are carried at estimated fair value. Purchases and sales of securities are recorded on a trade date basis.

The Foundation may enter into forward currency contracts to reduce the impact of foreign currency fluctuations relative to foreign government bonds held. Fluctuations in the value of forward currency contracts, prior to settlement, are included in unrealized gains or losses by the Foundation. At September 30, 1993 and 1992, the Foundation had no open forward currency contracts.

The Foundation is also a party to certain off-balance sheet financial instruments, including financial futures, options and put/call options on financial futures which represent investment strategies that are designed to enhance returns of its investment portfolio. The Foundation is subject to market risk associated with changes in value of the futures and options contracts. At September 30, 1993 and 1992, the gross values of such financial instruments were not material.

Fixed Assets
Furniture, fixtures and leasehold improvements are capitalized and depreciated or amortized over their estimated useful lives or the lease period, as applicable, using the straight-line method.

Grants Payable
Substantially all of the Foundation's grants are paid over the grant periods in amounts equal to qualifying costs reported by the recipients. The Foundation estimates that the grants payable balance as of September 30, 1993 will be paid as follows:

Fiscal Year	Amount
1994	$11,474,870
1995	4,951,250
1996	298,000
	$16,724,120

Tax Status
The Foundation qualifies as a tax-exempt organization under Section 501(c)(3) of the Internal Revenue Code and, accordingly, is not subject to Federal income tax. However, the Foundation is classified as a private foundation and is subject to a current Federal excise tax of 2% on net investment income and net realized taxable gains on security transactions. In accordance with Section 4940(e) of the Internal Revenue Code, if the Foundation met specified distribution requirements, it would pay a Federal excise tax of 1% in place of the 2% tax. During the years ended September 30, 1993 and 1992, the Foundation did not meet such requirements and, accordingly, was subject to a current Federal excise tax of 2%.

Deferred Federal excise tax represents taxes provided on net unrealized appreciation on investments and unrelated business income tax on certain real estate investment funds.

2. RETIREMENT PLANS

The Foundation has a defined contribution retirement plan covering all active full-time employees. Under the terms of the Plan, the Foundation must contribute specified percentages of an employee's salary. The Plan is funded currently through the purchase of individual annuity contracts and through employee-designated investments in various approved mutual funds. Retirement plan contributions by the Foundation were $192,000 and $199,880 for the years ended September 30, 1993 and 1992, respectively.

In addition, the Foundation has a supplemental retirement plan that allows employees to defer a portion of their salaries before taxes. No contributions are made by the Foundation to this plan.

3. INVESTMENTS

Investments are summarized as follows:

	9/30/93		9/30/92	
	Cost	Quoted Market	Cost	Quoted Market
Short-term investments	$63,762,960	$64,203,272	$25,386,534	$25,386,534
Long-term bonds and notes	125,738,507	131,049,031	171,086,085	179,053,292
Corporate stocks and mutual funds	204,067,010	293,340,669	163,538,072	218,382,787
Total marketable securities	393,568,477	488,592,972	360,010,691	422,822,613
Real estate commingled investment funds, at estimated fair value	11,544,871	16,207,879	11,258,504	16,187,852
Total investments	$405,113,348	$504,800,851	$371,269,195	$439,010,465

Included in long-term bonds and notes on the preceding table are investments in U.S. government and agency securities of $109,588,295 and $122,317,243 at September 30, 1993 and 1992, respectively.

The net gain from securities sales and net change in market prices of investments for fiscal years 1993 and 1992 are summarized as follows:

	1993	1992
Net realized gain on marketable securities	$17,978,896	$24,661,675
Net unrealized gain (loss) on investments and open forward currency contracts	31,946,233	(1,962,775)
Decrease (increase) in provision for deferred Federal excise tax	(655,578)	184,487
	$49,269,551	$22,883,387

4. LEASE COMMITMENTS

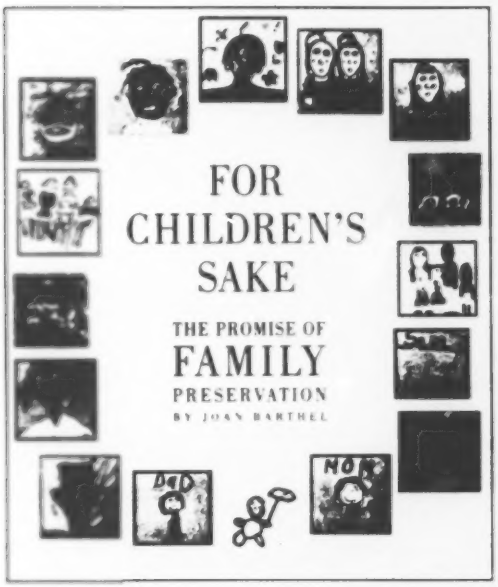
The Foundation's lease for its office space expires October 31, 2006. The lease contains an escalation clause which provides for rental increases resulting from increases in real estate taxes and certain other operating expenses under the lease. At September 30, 1993, the Foundation had commitments for base rent under such lease as follows:

Fiscal Year	Amount
1994	$407,232
1995	407,232
1996	407,232
1997	430,563
1998	432,684
Thereafter	3,624,789
	$5,709,732

Rent expense was $417,881 and $298,330 for the years ended September 30, 1993 and 1992, respectively.

Publications

The Foundation has issued a number of publications related to our programs. These can be obtained free of charge by writing or faxing the Office of Communications, The Edna McConnell Clark Foundation, 230 Park Avenue, New York, NY, 10017; Fax: (212) 986-4558. For bulk orders, please include a letter explaining how the publication will be used. A postage charge may apply to bulk orders.



PROGRAM FOR CHILDREN

Keeping Families Together:
Facts on Family Preservation Services
A comprehensive information packet that explains how intensive family preservation services work and why they are needed. 1994

For Children's Sake:
The Promise of Family Preservation
By Joan Barthel; the story of intensive family preservation services, including the history, impact, and implications for systemic social services reform. 1992

When a Family Needs Help
A how-to guide for troubled families that describes the range of available social services and how to find them. 1992

Making Reasonable Efforts:
Steps for Keeping Families Together
By the National Council of Juvenile and Family Court Judges, the Child Welfare League of America, the Youth Law Center, and the National Center for Youth Law; an outline of the roles and responsibilities of professionals involved in foster care placement decisions. 1987

PROGRAM FOR DISADVANTAGED YOUTH

Changing the Odds:
Middle School Reform
in Progress 1991-1993
By Anne C. Lewis; the second in a series of publications on a Foundation-supported education-reform initiative implemented in five urban middle-school systems: Baltimore, Louisville, Milwaukee, Oakland, and San Diego. 1993

Gaining Ground:
The Highs and Lows of
Urban Middle School Reform 1989-1991
By Anne C. Lewis; a report on the first two years of the initiative in five cities. 1991

Making It in the Middle:
The Why and How of Excellent Schools
for Young Urban Adolescents
By Anne C. Lewis; an analysis of the challenges facing urban youth in grades six through nine and a report on efforts to change inner-city schools, curricula, and classroom practices to help students develop skills and self-confidence. 1990

PROGRAM FOR HOMELESS FAMILIES

Families on the Move:
Breaking the Cycle of Homelessness
By Susan Notkin, Beth Rosenthal, and Kim Hopper; a case study of nine formerly homeless families that raises broad policy and practice issues in the effort to stop repeat homelessness. 1990

PROGRAM FOR JUSTICE

Americans Behind Bars
A comprehensive packet of information on imprisonment and crime in the United States; includes statistics on cost and causes of growth of prisons and information on alternatives to incarceration for some offenders. 1993

Punishing Criminals:
The People of Pennsylvania
Consider the Options
A summary of a survey by the Public Agenda Foundation; an examination of public opinion in Pennsylvania about overcrowded prisons and alternative sentencing options. 1993

Punishing Criminals:
The People of Delaware
Consider the Options
By John Doble, Stephen Immerwahr, and Amy Richardson of the Public Agenda Foundation; an examination of public opinion in Delaware about overcrowded prisons and alternative sentencing options. 1991

Punishing Criminals, The Public's View:
An Alabama Survey
By John Doble and Josh Klein of the Public Agenda Foundation; an examination of public opinion in Alabama about overcrowded prisons and alternative sentencing options. 1989

Out of Harm's Way:
The Emancipation of Juvenile Justice
By Richard J. Margolis; a short history of juvenile justice in the United States and an examination of effective community-based programs for delinquent youth in Massachusetts and Utah. 1988

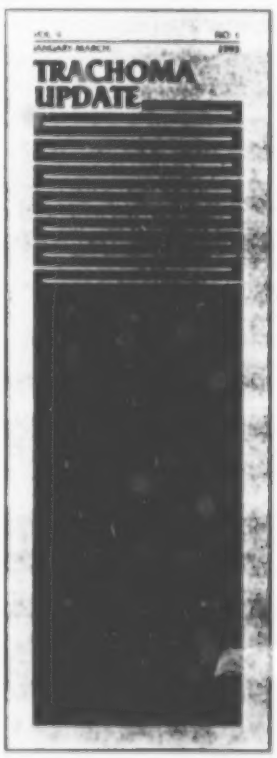
Order by the Court:
Special Masters in Corrections
By Bruce Porter; an exploration of the role of special masters in court-ordered prison reform. 1988

Crime and Punishment: The Public's View
By John Doble of the Public Agenda Foundation; an analysis of public attitudes about the criminal justice system. 1987

PROGRAM FOR TROPICAL DISEASE RESEARCH

Three quarterly bibliographies of medical research:

Trachoma Update
Oncho Update
Schisto Update



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How to Apply for a Grant

Before applying for a grant, applicants should carefully read the Foundation's "Grant Guidelines" brochure. This brochure and detailed statements on each program are available through the Foundation. To apply, applicants should write a brief letter describing the program or project for which they are seeking funds. The letter should include the purpose of the grant, a description of the proposed activity, an identification of the key participants, and an estimate of the budget and time frame. It should be sent in an envelope clearly marked "Proposal Letter Enclosed" and addressed to the director of the program for which you plan to apply. Upon receipt, the proposal letter will be reviewed by a program officer. The preliminary review should occur within one month. If the proposed activity falls within the guidelines of one of the Foundation's programs, the appropriate program director may ask for more information and a formal proposal.

The Foundation looks for a sound strategy and people capable of achieving their goals. The Foundation's officers frequently work with grant seekers to refine their plans. The proposals approved by the officers are reviewed and acted on by the trustees at one of five meetings each year. Through periodic site visits, grantee conferences, regular reports, and occasional external evaluations, Foundation staff stay in close contact with grantees.

The Foundation primarily supports organizations with a 501(c)(3) tax exemption. We do not consider proposals for capital purposes, endowments, deficit operations, scholarships, or grants to individuals.

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The Edna McConnell Clark Foundation

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